

# **ALABAMA STATE PLAN**

**2005-2006**

**WORKFORCE INVESTMENT ACT**

**WAGNER-PEYSER ACT**

**Revised 5/24/05**

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# TABLE OF CONTENTS

	<u>PAGE</u>
<b>I. State Vision</b>	<b>1</b>
<b>II. State Workforce Investment Priorities</b>	<b>3</b>
<b>III. State Governance Structure</b>	<b>3</b>
<b>A. Organization of State Agencies in Relation To Governor</b>	<b>3</b>
<b>B. State Workforce Investment Board</b>	<b>4</b>
<b>C. Structure/Process for State Agencies and State Board to Collaborate and Communicate</b>	<b>7</b>
<b>IV. Economic and Labor Market Analysis</b>	<b>9</b>
<b>A. Current Base by Industry</b>	<b>9</b>
<b>B. Industries and Occupations Growth/Decline</b>	<b>9</b>
<b>C. Demand for Skilled Workers</b>	<b>13</b>
<b>D. Critical Occupations</b>	<b>14</b>
<b>E. Skill Needs for Critical and Projected Jobs</b>	<b>15</b>
<b>F. Demographics</b>	<b>16</b>
<b>G. In/Out Migration of Workers</b>	<b>16</b>
<b>H. Skills Gaps</b>	<b>17</b>
<b>I. Workforce Development</b>	<b>17</b>
<b>J. Priority of Workforce Development Issues</b>	<b>18</b>

<b>V.</b>	<b>Overarching State Strategies</b>	<b>18</b>
<b>A.</b>	<b>Leveraging Other Resources</b>	<b>18</b>
<b>B.</b>	<b>Strategies to Address National Priorities</b>	<b>18</b>
<b>C.</b>	<b>Targeting Industries and Occupations</b>	<b>19</b>
<b>D.</b>	<b>Promoting and Developing Strategic Partnerships</b>	<b>19</b>
<b>E.</b>	<b>Strategies to Support Training in High Growth/ High Demand Industries</b>	<b>19</b>
<b>F.</b>	<b>Supporting Small Businesses</b>	<b>20</b>
<b>G.</b>	<b>Statewide Reserve Funds</b>	<b>20</b>
<b>H.</b>	<b>Collaboration for Youth Programs</b>	<b>20</b>
<b>I.</b>	<b>Identifying Laws, Regulations and Policies That Impede Goals</b>	<b>21</b>
<b>J.</b>	<b>How the State will Take Advantage of Flexibility Provisions</b>	<b>21</b>
<b>VI.</b>	<b>Major State Policies and Requirements</b>	<b>21</b>
<b>A.</b>	<b>Common Data Collection</b>	<b>21</b>
<b>B.</b>	<b>Policies to Promote Efficient Use of Resources</b>	<b>22</b>
<b>C.</b>	<b>Policies to Promote Universal Access</b>	<b>22</b>
<b>D.</b>	<b>Policies Supporting a Demand Driven Approach</b>	<b>22</b>
<b>E.</b>	<b>Use of Apprenticeship and Job Corps</b>	<b>22</b>
<b>VII.</b>	<b>Integration of One-Stop Service Delivery</b>	<b>23</b>
<b>A.</b>	<b>Quality of Service Delivery Through One-Stop Centers</b>	<b>23</b>
<b>B.</b>	<b>Policies to Support Maximum Integration</b>	<b>23</b>
<b>C.</b>	<b>Local-Level Integration</b>	<b>23</b>
<b>D.</b>	<b>Use of State Funds for Delivery Systems</b>	<b>24</b>

E.	Services for Customers at the Career Center Level	24
<b>VIII.</b>	<b>Administration and Oversight of Local Workforce Investment System</b>	<b>24</b>
A.	Local Area Designations	24
B.	Local Board Member Appointments	26
C.	How Will the State Build Local Board Capacity?	27
D.	Local Planning Process	27
E.	Regional Planning	28
F.	Allocation Formulas	29
G.	Provider Selection Policies	32
H.	One-Stop Policies	38
I.	Oversight/Monitoring Process	39
J.	Grievance Procedures	40
K.	State Policies or Procedures for Local Systems	40
<b>IX.</b>	<b>Service Delivery</b>	<b>43</b>
A.	One-Stop Service Delivery Strategies	43
B.	Workforce Information	45
C.	Adults and Dislocated Workers	47
D.	Rapid Response	62
E.	Youth	66
F.	Business Services	68
G.	Innovative Service Delivery Strategies	70

H.	Strategies for Faith-Based and Community-Based Organizations	70
X.	State Administration	73
A.	Technology Infrastructure	73
B.	Statewide Activities Under Section 128(a)(1)	74
C.	Use of Waivers and Workflex	74
D.	Performance Management and Accountability	75
E.	Administrative Provisions	86
XI.	Assurances	88

#### **Attachments**

1. Executive Order 17
2. Organizational Chart
3. State Workforce Investment Board Members
4. Workforce Development Strategic Plan
5. Roles and Responsibilities
6. Regional Advisory Councils - Map
7. Career Centers - Map
8. Waiver Summary
9. Career Center Operations Template
10. Grievance Procedures (WIA)
11. Full Collaboration Model
12. Proposed Performance Goals

## **State Plan Development Process**

The Governor's involvement in the development of the State Plan for the Workforce Investment Act and Wagner-Peyser Act Programs is largely through his Executive Order 17, which provided a coordinating mechanism for workforce development in Alabama, and through his approval of the Workforce Development Strategic Plan. He has approved those actions on which this plan is based.

The State Workforce Investment Board has been consulted on many of the issues on which the plan is based. The State Board Executive Committee was consulted on the State Plan on April 20, 2005 at its meeting in Montgomery. The State Workforce Investment Board met on May 4, 2004, also in Montgomery and received copies of the plan. The whole board was also notified during the week of April 11, 2005, that the State Plan would be available for their review and comment beginning April 18, 2005, on the Office of Workforce Development web site, under downloads, at [www.owd.alabama.gov](http://www.owd.alabama.gov). The State Plan was available for public review and comment on the Internet beginning April 18, 2005. This was considered to be the most effective manner to communicate with all interested parties. Public notices in newspapers were published during the week of April 11, 2005, to announce this intention.

The Wagner-Peyser agency, the Alabama Department of Industrial Relations, and the Workforce Investment agency, the Alabama Office of Workforce Development, worked together throughout the plan development process to ensure complete collaboration on the project. The Labor Market Information agency, also the Alabama Department of Industrial Relations, participated in the process from the beginning. This is the norm, just as coordination and collaboration are the norm at Workforce Planning Council meetings.

**Alabama's Workforce Development  
State Plan  
July 1, 2005 – June 30, 2007**

**I. Vision for a Statewide workforce investment system.**

The vision for Alabama workforce development is to provide a market-driven system that delivers services to customers using an innovative and comprehensive approach. We will provide employers with a prepared workforce which enhances the state's economic development and quality of life.

The Governor's vision is more expansively stated in Executive Order 17 (Attachment 1).

**A. The State's economic development goals for attracting, retaining, and growing business and industry within the State.**

Alabama's economic development goals, as expressed by the Alabama Development Office, are as follows:

- Enhance Alabama's national and international branding
- Identify growth sectors and business sectors that are of importance to Alabama's economy
- Identify, recruit, and develop investment projects of statewide and regional significance resulting in new job creation
- Improve Alabama's competitiveness as a world-class film industry business and production destination
- Assist and support local and regional economic development organizations in their missions to attract new business, retain existing industry and expand existing businesses
- Identify and coordinate with local and regional economic development partners business retention projects of statewide significance
- Increase export sales of Alabama products and services
- Support and provide special emphasis to encourage job creation in non-established, non-traditional regions

**B. The Governor's vision for maximizing and leveraging the broad array of Federal and State resources available for workforce investment flowing through the State's cabinet agencies and/or education agencies in order to ensure a skilled workforce.**

In Executive Order 17, Governor Riley talked about streamlining and consolidating the functions of workforce development agencies into a single agency in order to reduce costs, eliminate redundant organizations, and to simplify the executive branch of state government, to improve accessibility, to improve accountability, to provide more efficient use of expertise and facilities, to reduce administrative support, and to promote sharing of best practices. Part of the executive order creates the Workforce

Planning Council to develop, administer and coordinate the implementation of a comprehensive State Plan for Workforce Development, with input from the State Workforce Board and the Governor. The agency so designated is the Office of Workforce Development.

**C. The Governor's vision for ensuring a continuum of education and training opportunities that support a skilled workforce (keeping up with innovation and new technology).**

In addition to the workforce development agencies, such as the Department of Industrial Relations (Employment Service, Labor Market Information, Unemployment Insurance, Trade Act), the Office of Workforce Development (Title I of the Workforce Investment Act), the Department of Human Resources (Temporary Assistance to Needy Families), and the Alabama Development Office (Economic Development), the Governor included in the Workforce Planning Council the State Department of Education (elementary and secondary education) and the Department of Postsecondary Education. By keeping these entities engaged in designing and implementing the workforce system of the present and the future, the State will be in the best possible position to keep up with innovations and new technology. The Workforce Planning Council was established by Executive Order 17 (attachment 1).

**D. The Governor's vision for bringing the key players in workforce development including business and industry, economic development, education, and the public workforce system.**

Governor Riley brought together key players in workforce development including business and industry, economic development, education, and the public workforce system through his Executive Order 17, which established the Workforce Development Planning Council. This Planning Council is composed of the heads of workforce development agencies, including the Department of Industrial Relations (Employment Service, Labor Market Information, Trade Act, Veterans programs, and Unemployment Insurance), the State Department of Education, the State Department of Postsecondary Education, the Alabama Development Office (industrial recruitment), the Department of Human Resources (welfare, food stamps), Rehabilitation Services, and the Office of Workforce Development (Workforce Investment Act).

The Workforce Development Planning Council embodies the Governor's vision in Workforce Development as stated in Executive Order 17, "Streamlining and consolidating the functions of certain of these agencies into a single agency offers the opportunity to realize significant cost savings, eliminate redundancy and simplify the organizational structure of the Executive Branch, improve accessibility and accountability, provide more efficient use of specialized expertise and facilities, reduce administrative support, and promote more effective sharing of best practices and state of the art technology..." The Executive Order went on to state that the



Workforce Planning Council, "...shall develop, administer and coordinate the implementation of a comprehensive State Plan for Workforce Development..." In addition, these agency representatives are also members of the State Workforce Investment Board along with private sector representatives. Between the two, extensive discussion, work and review are conducted that identify workforce challenges and developing strategies and solutions, including leveraging resources to address those challenges.

**E. The Governor's vision to ensure that youth have the opportunity to actualize career goals. . .**

is through the Workforce Development Planning Council, the State Workforce Investment Board, and through the local youth councils and workforce investment boards. Each of the groups involved has the expertise to contribute to the development of a comprehensive youth strategy. Ensuring that coordination exists among agencies with related workforce development missions is the best way to ensure that funds are used properly and wisely and that redundancies are minimized.

**II. The Governor's key workforce investment priorities for the State's public system are...**

Governor Riley's workforce investment priorities for the public workforce system are:

- Streamlining and consolidating the functions of these agencies into a single agency
- Reduce waste in the workforce development system
- Improve accountability and accessibility
- More effectively use expertise and facilities
- Reduce administrative support

**Their contribution to fulfillment of the Governor's vision for Workforce Development is...**

When these changes are carried out, Alabama will have a more effective and efficient workforce development organization with the proper knowledge, tools, and backing necessary to carry out the jobs assigned to it by the Governor.

**III. State Governance Structure**

**A. Organization of State agencies in relation to the Governor.**

1. Organizational chart is attachment 2.
2. **In a narrative describe how the agencies involved in the public workforce investment system interrelate on workforce and economic development issues and the respective lines of authority.**

The agencies involved in the public workforce investment system interrelate on workforce and economic development issues as described in I.D. above. Numerous task forces/work groups have been appointed by the Workforce Development Planning Council to include a Labor Market Information Task Force, Task Force to Plan Job Forecasting Conference, Work Group on High Growth High Demand Job Sectors, MIS/IT Task Force, Career Center Integration Committee, Task Force to Simplify Procedures, and a Marketing Committee. These are made up of representatives from the Workforce Development agencies included in the Workforce Development Planning Council. In addition to this contact on policy issues and in formal groups, there is daily contact between staff of all these agencies as they pursue their normal daily work which involves coordination and collaboration with other workforce development agencies.

## **B. State Workforce Investment Board**

### **1. Describe the organization of the Board.**

The Alabama Workforce Investment Board is comprised of 63 members including the Governor and two members from each Chamber of the Alabama Legislature (membership list Attachment 3). There are 32 business representatives.

The State Board has an eighteen (18) member Executive Committee to conduct business outside the quarterly Board meetings. There are five workgroups established to provide guidance and provide policy recommendations to the full Board. These workgroups are: Performance and Accountability; Economic Development; Education; Marketing; Board Development and Communication.

### **2. Identify the organizations or entities represented on the Board.**

The organizations or entities represented on the Board include the Governor, four members of the Alabama Legislature, three representatives from organized labor, seven one-stop partner agencies, thirty-two business representatives, and two chief elected officials. Other agencies/entities represented include community colleges, state and local economic development organizations, community based organizations, juvenile justice and an organization with expertise in youth program activities.

### **3. Describe the process your state used to identify your state board members.**

State Board members were identified by the Governor's Office through recommendations requested from entities and organizations required by Section 111 (b) to be represented on the State Board. A majority of business representatives were recommended by the Business Council of Alabama (BCA),

which has some 5,000 business members, who employ nearly three quarters of a million Alabama workers. There are business representatives from nine of Alabama's ten regional advisory council regions with a replacement appointment pending in the remaining region.

**4. Describe how the board's membership enables you to achieve your vision described above.**

The membership of the Alabama Workforce Investment Board shares a vision with the Governor to achieve a comprehensive market-driven, performance-based workforce development system, which readily adapts to dynamic occupational and economic trends. The State Board collaborated with Alabama Workforce System partners through the Alabama Workforce Planning Council to develop Alabama's Workforce Development System 2005 Strategic Plan. The State Board Chair participates as a member of the Workforce Planning Council. The Board was involved in the development of the Strategic Plan with drafts being provided at quarterly meetings and Executive Committee sessions. The Strategic Plan was approved by the State Board on September 23, 2004, and presented to the Governor at the State Workforce Development Conference on November 3, 2004. The 2005 Strategic Plan is a continuing work in progress. Board members are involved with all initiatives and communicate on related strategies included in the plan, which relates to all aspects of the Workforce Development System in Alabama.

**5. Describe how the board carries out its functions.**

The State Board carries out functions required in WIA Section 111(d) and 20 CFR 661.205 primarily through the Executive Committee and through the Board workgroups described in number 1 above. The Executive Committee and the subject matter workgroup structure address specific issues and policy in order to make recommendations to the full Board and the Governor. For example, the Performance and Accountability workgroup developed a One-Stop Career Center template for local areas to use in developing consistency of services, information and branding of local One-Stop Career Center offices. The Board has also initiated an effort to market the One-Stop Career Center System in Alabama to employers through its' Marketing workgroup.

Also, on December 31, 2003, the Governor via Executive Order 17 created a Workforce Planning Council to develop, administer, and coordinate the implementation of a comprehensive state strategic plan for workforce development with input from the State Board. The Workforce Planning Council is essentially the Governor's Workforce Cabinet and is composed of cabinet level officers of Alabama's One-Stop partner agencies (who are also State Board members), two at large private sector members, and the chair of the State Workforce Board as an ad hoc member.

The Alabama Career Center partner agencies provide staff expertise for the various Board functions listed in Section 111(d) to ensure all statutory and regulatory requirements are met for WIA as well as other initiatives. The Office of Workforce Development (WIA Title I) provides full time Board staff.

**6. How will the state board ensure that the public has access to board meetings and information?**

All meetings of the Alabama Workforce Investment Board are publicly announced in eight to ten Alabama newspapers at least two weeks prior to each meeting and are open and accessible to the general public. The public notice lists a TDD telephone number to call to access information about each meeting and includes a statement that auxiliary aids and services are available upon request to individuals with disabilities. The meetings are held in locations accessible by persons with disabilities.

Membership information and meeting minutes are maintained at the Alabama Office of Workforce Development, 401 Adams Avenue, Montgomery, Alabama.

**7. Identify the circumstances which constitute a conflict of interest for any state or local workforce investment board member.**

Circumstances which constitute conflicts of interest for Board members were addressed on January 7, 2000, by the “State Policy on Conflicts of Interest” for both State and Local Workforce Investment Boards. This policy was transmitted through the Governor’s Workforce Development Directive No. PY 99-05. It included the Alabama Code of Ethics for Public Officials, Employees, etc., definition for a conflict of interest as follows:

A conflict on the part of a public official between his or her private interests and the official responsibilities inherent in an office of public trust. A conflict of interest involves any action, inaction, or decision by a public official or public employee in the discharge of his or her official duties which would materially affect his or her financial interest or those of his or her family members or any business with which the person is associated in a manner different from the manner it affects the other members of the class to which he or she belongs.

The State Policy Directive also included Section 111(f) and Section 117(g) of the Workforce Investment Act of 1998, as it applied to both the State and Local Boards.

Specifically, as provided in Section 111(f) and 117(g) of the Workforce Investment Act, a State or Local Board may not:

Vote on a matter under consideration by the Board-

- a) regarding the provision of services by such member (or by an entity that such member represents); or
- b) that would provide direct financial benefit to such member or the immediate family of such member; or engage in any other activity determined by the Governor to constitute a conflict of interest as specified in the State Plan.

The Alabama Workforce Investment Board adopted their “Conflict of Interest Policy” and “Bylaws” on March 22, 2000, incorporating the State Policy Directive into their policy document. These documents included additional language as follows.

Use or attempt to use the appointment to secure benefits, privileges, exemptions, or advantages for the member, any member of their immediate family, or an organization with which the member is associated which are different from those normally available to a member of their business classification, profession, or organization.

Any Board member with a potential or actual conflict of interest must disclose that fact to the Board (or the Executive Secretary) as soon as the conflict is discovered and, to the extent possible, before the meeting involving the issue to be discussed. If it should be determined during the meeting that a conflict of interest exists, the member must verbally declare such conflict of interest, such declaration must be clearly noted in the minutes, and the member must excuse him/herself from the remainder of the discussion and voting.

**8. What resources does the state provide the board to carry out its functions?**

The State does not provide the State Workforce Investment Board with a dedicated budget, but does provide dedicated staff and funds for meetings, as well as for activities recommended by the State Workforce Investment Board.

**C. Structure/Process for State agencies and State board to collaborate and to communicate.**

**1. Describe steps the state will take to improve operational collaboration of workforce investment activities at the state and local level. How will the State board and agencies eliminate any existing state-level barriers to coordination?**

As stated previously, Governor Riley’s desires for workforce development were stated in Executive Order 17, which called for increased accountability, streamlining services, providing universal access to services, and empowering individuals in training and career choices. Executive Order 17 also

established the Workforce Development Planning Council which is to serve as a coordinating mechanism among those agencies charged with workforce development functions. There are currently 13 separate task forces appointed by the Planning Council that are working on various issues within workforce development. The Planning Council and its task forces brings together representatives of all the workforce development agencies together to work on problems/issues. Together, they are finding solutions.

**2. Describe the lines of communication to attain timely sharing of information among state agencies and the state workforce investment board.**

Again, the formal lines of communication are through the Planning Council and through the State Workforce Investment Board, but the informal lines are far more numerous, effective, and necessary between meetings.

**3. Describe the lines of communication established to ensure sharing of information between state agencies and board and local boards.**

Local area representatives are invited to all State Workforce Investment Board meetings and are ad hoc members of the State Workforce Investment Board's Executive Committee. Federal guidance and policy statements from the State WIA Administrative Entity are issued through Governor's Workforce Development Directives, which is a numbered series. Issues that have been developed by and approved by all Workforce Development partners are disseminated by Alabama Career Center System Memoranda, which is also a numbered series.

**4. Cross-cutting organizations and bodies at the State level are** the State Workforce Investment Board, the Workforce Development Planning Council, and the Office of Workforce Development. The Planning Council, "...shall develop, administer and coordinate the implementation of a comprehensive State Plan for Workforce Development to be approved by the Governor with input from the State WIA Board.". The Planning Council has the following members: the Director of the Office of Workforce Development; the Director of the Alabama Department of Economic and Community Affairs; the Chancellor of Postsecondary Education; the Director of the Department of Industrial Relations; the Director of the Alabama Development Office; the Commissioner of the Department of Human Resources; the Director of the Alabama Industrial Development Training; and the State Superintendent of Education. The Office of Workforce Development was instituted at the end of calendar year 2003 in Governor Riley's Executive Order 17 (attachment 1). Its stated purpose is to achieve the consolidation of the administration of federal and state workforce development activities in the State.

## **IV. ECONOMIC AND LABOR MARKET ANALYSIS**

### **A. Current base by industry**

Annual employment figures for 2003 indicate an average employment base of over 1.8 million people. Health Care and Social Assistance as well as Professional, Scientific, and Technical Services showed the greatest gains from 2002 figures. Eleven of the major industry divisions decreased over 2003 with Manufacturing exhibiting the largest loss. Thirty-one of Alabama's 67 counties had gains in average monthly employment.

Non-manufacturing employment averaged 1,529,959, up 6,631 from 2002. Manufacturing employment averaged 293,601, registering a decrease of 4.5 percent from 2002. Of the 21 Manufacturing Sectors, 17 showed decreases over the past year. The greatest over-the-year increases were in Leather and Allied Products and Beverage and Tobacco Products.

### **B. Industries and Occupations Growth/Decline**

From 1992 to 2002, manufacturing across the country has garnered lessening amounts of employment distribution, showing almost a 9 percent decline over the period. However, from 2002 to 2012 only a .1 percent annual average loss is projected. In contrast, Alabama is looking forward to an additional 5,570 jobs in manufacturing; building the employment base from 307,340 in 2002 to 312,910 in 2012. Although textile and apparel employment should continue to fade, gains in other manufacturing areas will offset losses.

Employment in Motor Vehicle Manufacturing is expected to top the list of fast-growing industries, increasing 8.35 percent annually over the ten-year period. This will add about 6,260 jobs to the 2002 base-year employment of 5,090. Although Employment Services has the states fifth largest annual growth rate at 4.36 percent, this industry leads overall employment net change from 41,220 in 2002 to 63,190 in 2012—a net of 21,970 jobs over the period . Also significant is Computer Systems Design and Related Services. This high-growth area is expected to add over 7,300 jobs to the Alabama labor market economy with an annual 4.14 percent growth. Figure 1 lists the top ten industries identified as fast growing.

Figure 1. Ten Fastest Growing Industries

NAICS	INDUSTRY TITLE	Employment				Annual Growth Rate
		2002	2012	Net Change	Percent Change	
3361	Motor Vehicle Manufacturing	5,090	11,350	6,260	122.99	8.35
5181	ISP's and web search Portals	390	770	380	97.44	7.04
5416	Management and Technical Consulting Services	4,960	7,840	2,880	58.06	4.68
6239	Other Residential Care Facilities	1,650	2,560	910	55.15	4.49
5613	Employment Services	41,220	63,190	21,970	53.30	4.36
6216	Home Health Care Services	6,690	10,240	3,550	53.06	4.35
6233	Community Care Facilities for the Elderly	5,100	7,800	2,700	52.94	4.34
4922	Local Messengers and Local Delivery	600	910	310	51.67	4.25
5415	Computer Systems Design and Related Services	14,660	22,000	7,340	50.07	4.14
4859	Other Ground Passenger Transportation	210	310	100	47.62	3.97

The U.S. Bureau of Labor Statistics reports that although automated technology and faster looms are boosting productivity nationwide, competition and an increase in imports in fiber, yarn and thread mills will drive this sector down through 2012. In addition, employment declines are expected nationwide in Coal Mining due to industry consolidation, international competition, and advances in productivity. These losses are reflected in the Alabama economy.

A look at declining industries through 2012 indicates that Textiles should dominate losses in the Manufacturing sector with a combined decrement of 15,460 jobs. Textile and apparel plants in Alabama continue to lose employment slightly faster than the national. In the past, these plants were the backbone of Alabama manufacturing however, through 2012 the greatest contributor to decline will be Cut and Sew Apparel Manufacturing with an estimated annual contraction of 8.95 percent. Of the ten fastest declining industries statewide, seven are expected to occur in the Manufacturing sector. Refer to Figure 2 for a statewide listing of the top ten declining industries.

Figure 2. Ten Fastest Declining Industries

NAICS	INDUSTRY TITLE	Employment				Annual Growth Rate
		2002	2012	Net Change	Percent Change	
3152	Cut and Sew Apparel Manufacturing	7,940	3,110	-4,830	-60.83	-8.95
3133	Textile and Fabric Finishing Mills	2,750	1,310	-1,440	-52.36	-7.15
3151	Apparel Knitting Mills	9,270	5,100	-4,170	-44.98	-5.80
3132	Fabric Mills	6,640	3,920	-2,720	-40.96	-5.13
4247	Petroleum Merchant Wholesalers	2,750	1,790	-960	-34.91	-4.20
3131	Fiber, Yarn, and Thread Mills	6,690	4,390	-2,300	-34.38	-4.13
2121	Coal Mining	3,450	2,410	-1,040	-30.14	-3.52
4245	Farm Product Raw Material Merchant Wholesalers	800	610	-190	-23.75	-2.68
3253	Agricultural Chemicals Manufacturing	2,250	1,740	-510	-22.67	-2.54
3329	Other Fabricated Metal Product Manufacturing	3,720	2,980	-740	-19.89	-2.19



Although not included as long-term fast-growing industries, both the Retail and the Administrative and Waste and Remediation Services sectors are expected to show the greatest employment net increase before the end of 2005. Combined, they are projected to add 10,100 jobs or 2.26 percent and 5.46 percent respectively to their base year employment. Arts, Entertainment, and Recreation as well as Real Estate Rental and Leasing sectors are also expected to add 1,700 jobs to the economy.

Healthcare Practitioner and Technical occupations will lead job growth through 2012. This group comprises such fast-growing fields as Medical Assistants, which tops the list with an anticipated growth of over 51 percent. This occupation should provide approximately 240 annual openings across the state. Home Health Aides are also expected to provide employment growth by almost 49 percent over the period. Computer and Mathematical Occupations are well represented in the fast-growing category as Network Systems and Data Communication Analysts lead the group with an anticipated 45 percent increase from 1,410 employed in 2002 to 2,050 in 2012. One-third of occupations identified as fast-growing are in these two major occupational groups. Healthcare Support Occupations is the third major group on the list of fast-growing occupations. Of these, Home Health Aides are expected to grow almost 49 percent and are also identified as high-demand. The ten occupations with the highest annual expected growth through 2012 are shown in Figure 3.

Figure 3. High Growth Occupations with Education Requirements

Occupation	Employment 2002    2012		Percent Change	Annual Average Openings	Education/Training/Experience
Medical Assistants	3,410	5,160	51.30	240	Moderate-term on-the-job training
Veterinary Technologists and Technicians	610	910	49.20	40	Associate Degree
Home Health Aides**	7,480	11,140	48.90	465	Short-term on-the-job training
Medical Records & Health Info. Technicians	2,280	3,330	46.10	140	Associate Degree
Network Sys. And Data Commun. Analysts	1,410	2,050	45.40	80	Bachelor's degree
Personal and Home Care Aides	3,880	5,490	41.50	220	Short-term on-the-job training
Computer Software Engr., Sys. Software	2,440	3,430	40.60	125	Bachelor's degree
Computer Software Engineers	3,260	4,560	39.90	160	Bachelor's degree
Counselors, Social, and Religious Workers, All Other	3,180	4,420	39.00	185	Generally, a bachelor's degree to first professional degree
Dental Hygienists	2,170	3,010	38.70	105	Associate Degree

Although high demand occupations will continue to readily present employment opportunities, those jobs with the highest demand typically will employ workers with less skill and pay lower wages. As a result, an individual working in one of these jobs is more likely to hold multiple jobs for shorter periods of time in order to climb up the wage scale. Occupations representing a career path will have higher skill and wage levels as well as growth opportunities across industries in a career matrix.

Figure 4. High Demand Occupations

SOC	Occupation	Annual Job Openings		
		Total	Growth	Separations
41-2011	Cashiers	3,990	765	3,225
41-2031	Retail Salespersons	3,320	835	2,485
35-3021	Combined Food Prep. & Serving Workers	2,610	845	1,765
35-3031	Waiters and Waitresses	2,475	550	1,925
53-7062	Laborers and Freight, Stock, and Material Movers, Hand	1,835	200	1,635
29-1111	Registered Nurses	1,615	850	765
43-9061	Office Clerks, General	1,595	510	1,085
11-1021	General and Operations Managers	1,540	600	940
53-3032	Truck Drivers, Heavy and Tractor-Trailer	1,370	735	635
37-2011	Janitors and Cleaners, Except Maids	1,075	460	615

Alabama's top declining occupations reflect losses in their respective industries as well as changes in occupational technology. Occupations notated with '\*\*\*' qualify among the 30 occupations with the largest job decline in the 2002 - 2012 according to the Bureau of Labor Statistics. Seven of these top 10 are production occupations representing over 8,000 Alabama workers with transferable manufacturing skills.

Figure 5. Selected Declining Occupations

SOC	Occupation	Employment		Net Change
		2002	2012	
51-6031	Sewing Machine Operators	10,760	7,460	-3,300
45-9099	Farming, Fishing, and Forestry Workers, All Other (OES Only)	15,950	14,000	-1,950
51-6063	Textile Knitting and Weaving Machine Setters, Operators, and Tenders**	5,760	3,910	-1,850
51-6064	Textile Winding, Twisting, & Drawing Out Machine Setters, Operators & Tenders**	5,260	3,810	-1,450
43-9022	Word Processors and Typists**	3,200	2,560	-640
51-2022	Electrical & Electronic Equip. Assemblers**	2,860	2,380	-480
51-6061	Textile Bleaching and Dyeing Machine Operators and Tenders**	1,120	700	-420
51-6099	Textile, Apparel, and Furnishings Workers, All Other	2,250	1,840	-410
43-4131	Loan Interviewers and Clerks	2,900	2,540	-360
51-6091	Extruding & Forming Machine Setters, Oper. & Tenders, Synthetic & Glass Fibers	1,690	1,400	-290

### C. Demand for skilled workers

The High Growth Job Training Initiative laid out by President Bush identifies industries that are either primary or secondary high-growth industry areas in the national economy. These national areas overlap the Alabama economy in multiple industries that are targeted for growth. These include Healthcare, Information Technology, Shipbuilding, Aerospace, and Automotive manufacturing.

By 2012 in Alabama, the Healthcare sector will require skilled workers in Other Residential Care Facilities, Home Health Care Facilities, and Community Care Facilities for the Elderly. The following occupations are staffed in Healthcare industries and are fast-growing occupations.

Healthcare Fast-Growing Occupations	2012 Employment	Percent Change From 2002
Medical Assistants	5,160	51.3
Home Health Aides	11,140	48.9
Medical Records & Health Info. Tech.	3,330	46.1
Personal & Home Care Aides	5,490	41.5
Social & Human Service Assistants	5,240	37.2

ISP's and Web Search Portal industries are fast-growing in Alabama and are included in the President's Information Technology sector. Information Technology staffs the following fast-growing Computer and Mathematical occupations.

Information Technology Fast-Growing Occupations	2012 Employment	Percent Change From 2002
Network Systems & Data Communication Analysts	2,050	45.4
Computer Software Engineers, System Software	3,430	40.6
Computer Software Engineers, Applications	4,560	39.9
Database Administrators	1,170	36.0
Network and Computer System Administrators	2,780	31.1

In Alabama, Biotechnology jobs were identified from Medical and Diagnostic Laboratories, Scientific Research and Development Services, Architectural, Engineering, and Related Services, and Pharmaceutical and Medicine Manufacturing. The occupations listed below are a select few from the Life, Physical and Social Science Occupational Group as they are most closely associated to Biotechnology.

Biotech Occupations	2012 Employment	Percent Change From 2002
Medical Scientists, Except Epidemiologists	240	20.0
Chemists	1,000	9.9
Biological Technicians	60	13.9
Chemical Technicians	780	2.6

Alabama's economic profile includes targeted growth in Shipbuilding industries. These tend to occur in both the Transportation sector and Manufacturing. The occupations listed are typical of those found in shipbuilding. Data for these occupations is aggregated across all industries.

Shipbuilding	2012 Employment	Percent Change From 2002
Electricians	14,260	22.7
Painters, Transportation Equipment	1,350	26.2
Plumbers, Pipefitters, and Steamfitters	7,730	17.5
Welders, Cutters, Solderers, and Brazers	10,080	20.7

Although the nation faces a decline in automotive manufacturing employment, Alabama has succeeded in recruiting automotive manufacturers to boost employment. As a result, the following occupations are expected to grow.

Automotive Manufacturing	2012 Employment	Percent Change From 2002
Painters, Transportation Equipment	1,350	26.2
Production, Planning, and Expediting Clerks	5,870	24.4
Engine and Other Machine Assemblers	1,050	23.5
Electricians	14,260	22.7

#### D. Critical Occupations

Critical occupations can be defined several ways. The following occupations have been selected based on rankings of expected annual openings and on growth through 2012. Those rankings were then averaged to come up with occupations that could be described as critical occupations.

Occupation	2012 Employment	Avg Annual Growth Rate	Avg Annual Openings	Openings Due to:		Experience/ Education
				Growth	Separations	
Home Health Aides	11,140	4.1	465	365	100	Short-term OJT
Security Guards	17,060	2.6	725	390	335	Short-term OJT
Receptionists and Information Clerks	16,880	2.5	695	370	325	Short-term OJT
Medical Assistants	5,160	4.2	240	175	65	Moderate-term OJT
Counter and Rental Clerks	9,160	2.6	475	205	270	Short-term OJT
Nursing Aides, Orderlies, and Attendants	26,330	2.3	890	530	360	Short-term OJT
Registered Nurses	45,010	2.1	1615	850	765	Associate degree
Personal and Home Care Aides	5,490	3.5	220	160	60	Short-term OJT
Preschool Teachers, Except Special Education	6,410	3.0	230	160	70	Postsecondary Vocational
Dental Assistants	4,190	3.3	200	115	85	Moderate-term OJT

*Short-term On-the-job-Training* refers to developing the skills needed for average job performance after a short demonstration or up to 1 month of on-the-job experience or instruction. *Moderate-term On-the-job-Training* refers to developing the skills needed for average job performance after 1 to 12 months of combined on-the-job experience and informal training. *Moderate-term On-the-job-Training* refers to developing the skills needed for average job performance after 1 to 12 months of combined on-the-job experience and informal training. *Postsecondary Vocational*

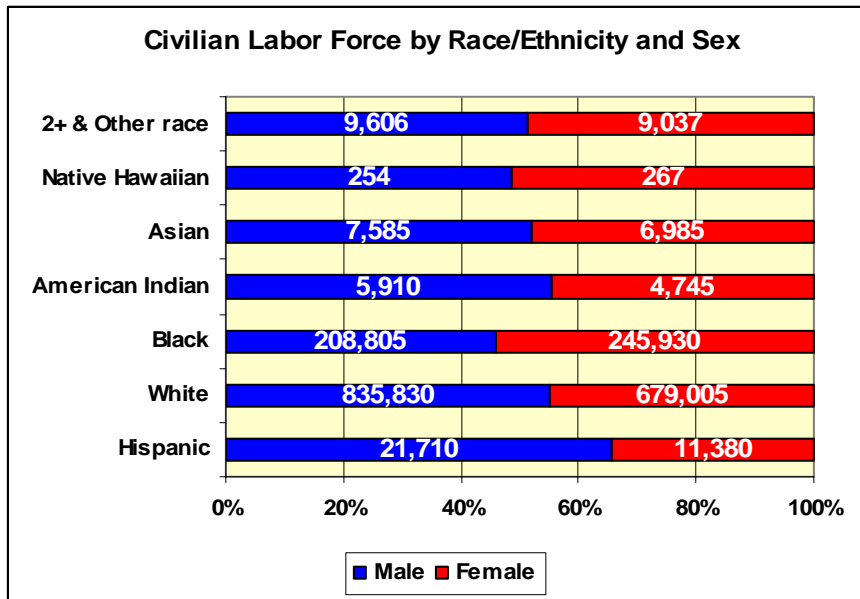
*Training* generally requires completion of vocational school training. *Associate degree* is completion of a 2 year academic program.

### **E. Skill Needs for critical and projected jobs**

<b>Occupation</b>	<b>Knowledge</b>	<b>Skills</b>	<b>Ability</b>
Home Health Aides	English language Customer and personal service Administration and management Mathematics Sales and marketing	Active listening Reading comprehension Speaking Mathematics	Oral comprehension Oral expression Speech clarity Speech recognition Near vision
Security Guards	Public safety and security Customer & personal service English language Law and government Clerical	Reading comprehension Active listening Speaking Social perceptiveness Monitoring	Problem sensitivity Selective attention Inductive reasoning Near vision Oral comprehension
Receptionists and Information Clerks	Customer and personal service Clerical English language	Active listening Speaking Reading comprehension Writing Service orientation	Oral comprehension Oral expression Speech recognition Speech clarity Written comprehension
Medical Assistants	English language Customer and personal service Medicine and dentistry Clerical	Active listening Speaking Social perceptiveness Instructing Reading comprehension	Oral comprehension Oral expression Speech clarity Near vision Problem sensitivity
Counter and Rental Clerks	English language Customer and personal service Administration and management Mathematics Sales and marketing	Active listening Reading comprehension Speaking Mathematics	Oral comprehension Oral expression Speech clarity Speech recognition Near vision
Nursing Aides, Orderlies, and Attendants	Customer and personal service English language Education and training Medicine and dentistry	Active listening Speaking Instructing Coordination Time management	Problem sensitivity Oral comprehension Oral expression Near vision Speech recognition
Registered Nurses	Medicine and dentistry Psychology Customer and personal service English language Biology	Active listening Reading comprehension Critical thinking Instructing Speaking	Problem sensitivity Oral expression Oral comprehension Inductive reasoning Written expression
Personal and Home Care Aides	Customer and personal service English language	Active listening Social perceptiveness Coordination Service orientation Monitoring	Oral comprehension Problem sensitivity Speech clarity Oral expression Speech recognition
Preschool Teachers, Except Special Education	Education and training Customer and personal service English language Psychology Fine arts	Speaking Learning strategies Instructing Social perceptiveness Active listening	Oral expression Oral comprehension Speech clarity Problem sensitivity Time sharing
Dental Assistants	Medicine and dentistry Customer and personal service English language Clerical Chemistry	Active listening Reading comprehension Speaking Social Perceptiveness Coordination	Oral expression Oral comprehension Written expression Near vision Information Ordering

## F. Demographics

According to the U.S. Census Bureau, there are approximately 2,047,095 Alabamians counted in the civilian labor force. Of these workers, over 33,000 are Hispanic of any race. The following chart summarizes the labor force distribution by sex.



## G. In/Out Migration of Workers

### Alabama Workforce

State Workplace	Total Number of AL Commuter Workforce in each Workplace	Percentage of AL Commuter Workforce in each Workplace
Alabama	1,821,892	95.88 %
Georgia	39,667	2.09 %
Mississippi	12,416	0.65 %
Tennessee	8,662	0.46 %
Florida	6,234	0.33 %

(2000 Census Data - based on the number of workers 16 years old and over in the commuter flow)

### Bordering State Workforce Commuting to Alabama

State of Residence	Total Number of State Commuter Workforce	Number of Commuter Workforce Entering AL	Percentage of each State Commuter Workforce
Mississippi	1,164,118	6,991	0.60 %
Tennessee	2,618,404	8,565	0.33 %
Florida	6,910,168	9,460	0.14 %
Georgia	3,832,803	10,051	0.26 %

(2000 Census Data - based on the number of workers 16 years old and over in the commuter flow)

## **H. Skill Gaps**

In general terms, the skill gaps of workers in Alabama are those which result from moving from a low-skill, labor-intensive economy based to a significant extent on textile and apparel, low-tech manufacturing and agribusiness to a 21<sup>st</sup> Century innovation economy based largely on advanced manufacturing and higher-tech services. To transition from the old to the new economy, many Alabamians need to improve basic skills in such areas as applied reading, *problem solving*, applied mathematics, communication and applied technology.

Once these foundational skills are mastered, a much larger number of Alabamians need to master technical skills. These needs are particularly acute in such areas as advanced manufacturing where multi-craft industrial maintenance, machining, tool and die, sheet metal, and welding technicians and related skills are insufficient to meet current and projected demands. Similarly in the aerospace sector, airframe and power plant certified technicians are not available in sufficient numbers to meet demand.

In the service sector, various healthcare technicians and nurses are in short supply. There are also shortages in such low-wage service areas as cashiers and retail sales clerks, but the required training for these entry-level positions does not normally greatly impact the public workforce development system.

More specifically, each of the recently-created ten Regional Advisory Councils are currently analyzing labor market and economic development information and completing a regional "Status of the Workforce Report" based on their respective regional economies. These reports (see template – Addendum \_\_) address the issue of declining occupations / sectors vs. growing occupations / sectors and the skills gaps created by such job churning. This information will be provided to the State Planning Council and State and Local Workforce Boards annually to inform system planning, to more closely define skills gaps, and to target education and training resources accordingly.

## **I. Workforce Development Issues**

Addressing the following issues has been given priority by the Alabama Workforce Development Planning Council and the Alabama Workforce Development Board:

- (1) designing a comprehensive, market-driven, performance-based workforce development system that is based on labor market analysis and serves as a vital resource which readily adapts to dynamic occupational and economic needs.
- (2) designing and implementing organizational structures and programs based on best practices.
- (3) integrating a workforce development system that unites Alabama's education services, employment services, and economic development resources into a streamlined delivery system.

- (4) becoming a recognized leader and partner in economic development by providing employers with valuable services which enhance their opportunities for growth and by providing job seekers with education, training, and related services which enhance their employability.
- (5) establishing a comprehensive marketing plan which communicates the enhanced services that the Workforce Development System provides the state's employers and employees.

Each of these issues / goals have been aligned with related strategies, initiatives, and activities designed to address the issues.

#### **J. Priority of Workforce Development Issues**

No priority for the top 5 issues listed above has been established. It is the belief of the State Planning Council and Workforce Board that all five goals / issues must receive priority attention and must move along together in an integrated approach. Addressing any one of the issues complements and supports achievement of the other. Addressing all five of these issues concurrently is Alabama's priority.

### **V. Overarching State Strategies**

#### **A. Identify how the State will use Title I funds to leverage other federal, state, local, and private resources in order to maximize the effectiveness of such resources and to expand the participation of business, employees, and individuals in the statewide workforce investment system.**

The Workforce Planning Council has created an exciting vehicle for sharing program ideas, needs, and opportunities. Through this mechanism, many issues concerning workforce development in the State are shared and opportunities for cooperative programs are presented. This has proven to be a healthy medium to achieve collaboration, shared expertise, and shared funding. Many joint projects are currently under way which involve two or more of the Council member agencies.

#### **B. What strategies are in place to address the national strategic direction discussed in Part I of this guidance, the Governor's priorities, and the workforce development issues identified through the analysis of the State's economy and labor market?**

The strategies heretofore mentioned lend themselves very directly to achievement of the Governor's priorities, the State's workforce development issues, and national strategic direction. An organized, coordinated system has been put in place to address all of these sets of issues. The issues will be addressed by the Workforce Planning Council and the State Workforce Investment Board, with the Office of Workforce Development acting as the coordinating entity.



**C. Based on the State's economic and labor market analysis, what strategies has the State implemented or plans to implement to identify and target industries and occupations within the State that are high growth, high demand, and vital to the State's economy.**

The State has recognized for a considerable period of time that our workforce needed to be expanded to include persons who have normally been left out of the workforce. These persons are largely identified as discouraged workers. They include those who have deficient education credentials, sketchy work experience, disabilities, and substance abuse problems. A program, called Focused Industry Training (FIT), has been designed to bring these groups back into the labor market in hopes of getting them to contribute to the economy. The FIT programs include components on adult education, interviewing skills, industrial training, and work habit training. They are wide spread across the State and have made valuable contributions to the labor pool.

We constantly review the job demand information and ensure that training conducted is only for those jobs for which there is a demand. The State Workforce Investment Board will be looking at this area to determine if further policy is called for.

**D. What strategies are in place to promote and develop ongoing and sustained strategic partnerships that include business and industry, economic development, the public workforce system, and education partners for the purpose of continuously identifying workforce challenges and developing solutions to targeted industries' workforce challenges?**

All of these enterprises are included on the Workforce Planning Council and meetings consist of dialogue about workforce challenges and finding ways and means to resolve them.

**E. What State strategies are in place to ensure that sufficient system resources are being spent to support training of individuals in high growth/high demand industries?**

Perhaps the chief state strategy to ensure the support of training in high growth/high demand industries is the extensive training being done by Labor Market Information representatives in Alabama. These training sessions provide instruction in the use of many types of labor market information and help users to understand how to interpret the data presented. The trainees include many representatives from Workforce Development and Economic Development agencies.

**F. What workforce strategies does the State have to support the creation, sustainability, and growth of small businesses and support for the workforce needs of small businesses as part of the State's economic strategy?**

The State has a strong Business Relations effort underway. The Business Relations representatives call on businesses and discuss with them the services provided by Career Centers across the State. Services that are especially significant to small business are the Incumbent Worker Training program and On-the-Job Training. Both are very highly thought of programs and offer a great deal of help to small businesses.

We have long recognized the Employer community as the "Demand" that drives the economic as well as workforce systems. A recent GAO report found that one half of small employers are aware of their local one-stop, and one quarter of small employers are likely to use one-stop services, and the service primarily sought is to help fill job vacancies. The Employer Relations Program reaches thousands of Alabama employers, including small businesses each year, offering support whether in terms of new or changing programs, the latest Labor Market Information available, or assistance in filling a job vacancy.

The Employer Relations program also markets Career Center Business Services offered by all partners. Business Services Representatives, trained and knowledgeable about partner services, shared information regarding business services provided by the Career Center System and assisted employers throughout the state to become aware of Career Centers and the services available to assist them with their business/employment needs.

To assist employers, particularly small businesses', in the service most primarily sought, i.e., filling job vacancies, Employment Service through Alabama's Job Link (AJL) will offer employers as an option the opportunity for self-service job matching and workplace information service. Employers will be able to establish an account to manage their job openings as well as view job seeker resumes.

**G. How are the funds reserved for Statewide activities used to provide incentive for the entities that make up the State's workforce system at the State and local levels to achieve the Governor's vision and address the national strategic direction identified in Part I of this guidance?**

Incentive awards are provided to local areas which exceed performance goals. These funds may be used for activities authorized by the Workforce Investment Act.

**H. Describe the State's strategies to promote collaboration between the public workforce system, education, human services, juvenile justice, and others to better serve youth that are most in need and have significant barriers to employment,**

**and to successfully connect them to education and training opportunities that lead to successful employment.**

The Alabama Workforce Development System Strategic Plan has several goals, strategies, and initiatives that include strategies to better serve youth. Additional strategies will be discussed and decided upon by the Workforce Planning Council and the State Workforce Investment Board. Many joint projects have been created as a result of participation on the Workforce Planning Council.

**I. Describe the State's strategies to identify State laws, regulations, and policies that impede successful achievement of workforce development goals and strategies to change or modify them.**

Laws that restrict the ability of workforce partners to collaborate are brought up in partner meetings, review team reports, and may be brought up in Workforce Planning Council meetings. It is important that flexibility to operate be maintained. (See attachments 1, 4 and 5).

**J. Describe how the State will take advantage of the flexibility provisions in WIA for waivers and the option to obtain approval as a workflex state.**

Alabama has taken full advantage of the allowance of waivers to achieve maximum flexibility, having requested and been granted approval for several waivers. We will continue to look at these options in the future to determine the best way for Alabama to proceed. (See attachment 8 – Waiver Summary).

**VI. Describe major state policies and requirements that have been established to direct and support the development of a Statewide workforce investment system not described elsewhere in this Plan.**

**A. What state policies and systems are in place to support common data collection and reporting processes, information management, integrated service delivery, and performance management?**

The State has developed an Inter-agency Electronic Linkage System (IELS). This system has been in operation for about three years at this time. Since its inception, it has maintained a data warehouse for WIA, Employment Service, Rehabilitation Services, and Human Resources (welfare) information. Beginning in August of 2004, the group has been expanded to include Postsecondary Education, the State Department of Education (secondary), Alabama Industrial Development Training, the Alabama Commission on Higher Education, and Adult Education. This system will be expanded as soon as issues of confidentiality of information are resolved. When EMILE is

approved, this system can be adapted to provide combined reports. (See also attachment 9 – Career Center Operations Template).

- B. What state policies are in place that promote efficient use of administrative resources such as requiring more co-location and fewer affiliate sites in local one-stop systems to eliminate duplicative facility and operational costs or to require a single administrative structure at the local level to support local boards and to be the fiscal agent for WIA funds to avoid duplicative administrative costs that could otherwise be used for service delivery and training?**

Wherever partner agencies are located in the same area, they are collocated. Our satellite career centers are those in areas where there is only one partner on a permanent basis. The other agencies visit these satellite career centers on a regular basis. There is no case where we have, for instance, an Employment Service office and a WIA office located within a few miles of each other. Having a single administrative structure at the local level is a goal for the future but it is not yet realized.

- C. What state policies are in place to promote universal access and consistency of service statewide?**

State Workforce Investment Board policy in regards to Career Center Operations has been condensed into a “Career Center Operations Template.” This document has developed over several years and is updated as needed. It was disseminated to the entire Workforce Development system, including the Career Center System via an Alabama’s Career Center System Memorandum. The Career Center Operations Template is attachment 9.

- D. What policies support a demand-driven approach, as described in Part I. “Demand-driven Workforce Investment System,” to workforce development – such as training on the economy and labor market data for local Board and One-Stop Career Center staff?**

Alabama’s Labor Market Information Division of the Department of Industrial Relations has provided training sessions for Career Center staff as well as for board members and plan more for the month of April. These sessions flow directly from the goals and initiatives expressed in the State’s Workforce Development Strategic Plan. (See attachment 4).

- E. What policies are in place to ensure that the resources available through the federal and/or State apprenticeship programs and the Job Corps are fully integrated with the State’s One-Stop delivery system?**

Our Career Centers have the guidance through state policy that they are to keep a resource inventory of all resources within their area and to refer customers to services that best meet the needs of the customer. Apprenticeship programs and Job Corps programs are well known by our Career Center staff and referrals are made, as appropriate. Further, the Employment Service has a close working relationship with Job Corps to determine eligibility.

Job Corps recruitment is conducted by the Employment Service as part of the Career Center System. As such, the recruitment service is fully integrated and available to all one-stop partners who are made aware of the program through both formal communication and cross awareness training. All partners are encouraged to refer qualified applicants to the Job Corps program.

**VII. Describe the actions the State has taken to ensure an integrated One-Stop service delivery system Statewide.**

**A. What State policies and procedures are in place to ensure the quality of service delivery through one-stop centers such as development of minimum guidelines for operating comprehensive one-stop centers, competencies for career center staff or development of a certification process for centers?**

The previously-mentioned Alabama's Career Center System Operations Template contains the policy of the State Workforce Investment Board vis-à-vis operations of Career Centers. The Template provides for policies relating to integration, collocation, customer service, marketing, and many others. It is updated as needed to help the Career Centers grow in the directions determined by local needs and higher policies. We have not done a certification process, but review of each Career Center against the Operations Template is very close to a certification process. (See attachment 9).

**B. What policies or guidance has the state issued to support maximum integration of service delivery through the career center delivery system for both business customers and individual customers?**

The State is currently working on integration at the Career Center level. It is one of the Governor's goals to achieve. The Career Center Operations Template contains current guidance on integration. Further instructions on this will come from the Workforce Planning Council and the State Workforce Investment Board. (See attachment 9).

**C. What actions has the state taken to promote identifying career center infrastructure costs and developing models or strategies for local use that support integration?**

A committee has been assembled, made up of representatives of partners who are in the Career Centers. This committee, which was formed because of tightening budgets, is looking into and planning for integration at the Career Center level. Full integration has not yet occurred.

**D. How does the state use the funds reserved for statewide activities pursuant to section 129(b)(2)(B) and 134(a)(2)(B)(v) to assist in the establishment and operation of career center delivery systems?**

No special allocation of WIA 15 Percent Statewide Activity funds is made to local areas for One-Stops. The State does pay its share of costs through a cost allocation, which ensures costs for services at the One-Stops are paid by the benefiting fund sources such as WIA 15 percent Adult, Dislocated Workers, etc. Two local areas do have nominal costs associated with State-level program participants, which are covered by these two local areas out of formula (program) funds. The State uses some of the 15 percent funds for technical assistance and training for career center staff capacity building. The State also funds the WIA management information system to include State staff who manage the system. There's also an interagency computer system (IELS, funded by the State), which allows various partner agencies to share data on individuals seeking human resource services.

**E. How does the state ensure the full spectrum of assets in the career center delivery system support human capital solutions for business and individual customers broadly?**

The Career Center Operations Template, worked up by State Workforce Development partners staff and approved by the State Workforce Investment Board, requires Cross-Awareness Training on a monthly basis at each Career Center. This training ensures that all partners in the Career Center are knowledgeable of all Workforce Development programs and services available from all partners. Emphasis has been placed on both job seekers and employers being primary customers of the Career Center system. (See attachment 9).

**VIII. Administration and Oversight of the Local Workforce Investment System**

**A. Local Area Designations**

- 1. Identify the State's designated local workforce investment areas and the date of the most recent area designation, including whether the State is currently re-designating local areas pursuant to the end of the subsequent designation period for areas designated in the previous State Plan.**

The most recent re-designation of local areas within the State of Alabama occurred on February 28, 2005 and is effective through June 30, 2006. There has been no change in the local areas designated at the beginning of the Workforce Investment Act. The three local areas are: Jefferson County (Birmingham); Mobile County (Mobile); and the remaining 65 counties form the Alabama Workforce Investment Area.

- 2. Include a description of the process used to designate such areas. Describe how the State considered the extent to which such local areas are consistent with labor market areas: geographic areas served by local and intermediate agencies, postsecondary education institutions and area vocational schools; and all other criteria identified in section 116(a)(1) in establishing area boundaries to assure coordinated planning. Describe the State Board's role, including all recommendations made on local designation request pursuant to section 116(a)(4).**

The criteria listed in 116(a)(1) were considered. Jefferson and Mobile counties met them and the AWIA also met them. All three had successful experience as service delivery areas under the Job Training Partnership Act. Jefferson County met the 500,000 population criterion. The State Workforce Investment Board discusses and approves designation and re-designation of local areas. Since there were no requests for change in designation and no requirement to change the designation, the re-designation was a pro forma exercise.

- 3. Describe the appeals process used by the State to hear appeals of local area designations referred to in 112(b)(5) and 116(a)(5).**

WIA section 116(a)(5) states that a unit of general local government including a combination of such units or grant recipient that requests but is not granted designation as a local area under WIA section 115(a)(2) or section 116(a)(3), and that does not meet the criteria for automatic designation under section 116(a)(2), or for temporary and subsequent, under section 116(a)(3) may submit an appeal to the State Board.

Within 10 working days of providing notice of intent to file an appeal, the appellant must submit their rebuttal package via certified mail to the OWD Director. The rebuttal package should address all issues raised or questions asked by the State Board in rendering their decision and indicate if a formal hearing is requested. The appellant may be asked to provide additional information/documentation.

The OWD staff will work in conjunction with the State Board to expedite review of a designation appeal and to schedule a formal hearing, if requested, before the State Board. Efforts will be made by OWD staff to enable State Board members to review the appeal informally, i.e., via mailouts or, if the situation warrants, the Board may be convened by the Governor in advance of a scheduled meeting date in order that the appeal may be resolved within 30 days of filing.

If the appeal to the State Board does not result in designation, the appellant, if appealing under WIA section 116(a)(2) or section 116(a)(3), may request review by the Secretary under 20 CFR Part 667.645. An appeal to the Secretary must be submitted by the appellant no later than 30 days after receipt of written notification from the State Board that the appeal has been denied. Appeals must be submitted by certified mail, return receipt requested, to the Secretary, U.S. Department of Labor, Washington, D.C. 20210, Attention: ASET. A copy of the appeal must be simultaneously provided to the State Board.

If the Secretary determines that the appellant was not accorded procedural rights under the appeal process established under the above section, or that the area meets the requirements for designation in WIA section 116(a)(2) or 116(a)(3), the Secretary may require that they are to be designated as a Workforce Development area. The Secretary must issue a written decision to the Governor.

**B. Local Workforce Investment Boards – Identify the criteria the State has established to be used by the chief elected official(s) in the local areas for the appointment of local board members based on the requirements of section 117.**

Section 117(b)(1) requires the Governor to prescribe to local elected officials the below indicated membership requirements for local workforce development boards (Note that a single board appointee may satisfy more than one of these requirements):

(NOTE: Per USDOL correspondence of September 23, 2004, the State has been granted a waiver of the Section 117(b)(1) State Board membership requirements in favor of the associated Board membership requirements outlined in H.R. 1261. The State has requested an extension of this waiver through June 30, 2007.).

1. The Chief Elected Official of each local area will appoint the membership for that area's local board.
2. The Governor will certify the chief elected official's board appointments.
3. The size of local boards is left to the discretion of each local area.
4. The majority of local board members must represent private sector business concerns, and the local board chair must be selected from this segment. Business representatives must be those with optimum policy making or hiring authority who reflect the employment opportunities of the area.
5. Each of the Workforce Investment Act "One-Stop" partner agencies must be represented on the local board.
6. Other agencies that must be represented on the local board:
  - a) Local education agencies
  - b) Organized Labor
  - c) Community-based organizations
  - d) Economic development agencies
  - e) Veterans organizations
  - f) Other appropriate agencies



**C. How will your state build the capacity of local boards to develop and manage a high performing local workforce investment system?**

Training and technical assistance funding is provided to local areas each year. Building the capacity of the local board is certainly one of the allowable expenditures for these funds. The state conducts (almost) annual conferences to provide exposure to training and new concepts to staff and board members. There are various venues where exposure to new ideas is available. When local areas exhaust their supply of technical assistance funds, the state makes available funds upon request.

**D. Local Planning Process – Describe the State-mandated requirements for local workforce areas’ strategic planning. What assistance does the State provide to local areas to facilitate this process, including:**

**1. What oversight of the local planning process is provided, including receipt and review of plans and negotiation of performance agreements?**

Local areas have been kept up to date on the process that the state is following in regard to the State plan and in regard to the local area plans. They have been consulted with and have been given the instructions for their “interim plans” and have been told that a “final plan” will be due on September 1, 2005. The “interim plans” will be due on May 1, 2005. These dates will allow discussion at the local level, board review, and public review and comment. Local areas will only have to explain their plans on May 1 to move toward implementation of USDOL’s new emphasis on integration, customer centered programs and services, demand-driven system, maximum flexibility to meet the needs of the local economy and labor market, ensure that customers make informed choices based on quality workforce information, new youth program targeting out of school youth, how they will increase training by decreasing administrative and infrastructure expenditures, explain review and comment procedures to be used during the plan process, how coordination with Faith-Based and community organizations will be achieved, and a completed grant agreement package and assurances and certifications. Performance goal negotiation will take place after the State has negotiated with USDOL. A local area adjustment methodology has been developed.

**2. How does the local plan approval process ensure that local plans are consistent with state performance goals and state strategic direction?**

The local plan approval process is not dependent on the performance goal negotiation. The time lines are in disagreement. Local plans are reviewed with state strategic plan elements in mind and consistency with the State plan is required.

**E. Regional Planning (§§112(b)(2), 116(c).)**

**1. Describe any intra-state regions and their corresponding performance measures.**

In 2004, the Alabama Workforce Planning Council established ten workforce development regions made up of the counties within Alabama's sixty-five county Workforce Investment Area and consisting of about six to eight counties each. Jefferson County and Mobile County are not included because they exist as separate local areas and have their own Workforce Investment Boards.

Each of the ten regions has an appointed Regional Workforce Development Advisory Council with a range of representatives including members of regional planning and development commissions, local government councils, local chambers of commerce, postsecondary education entities and major area employers. Currently, the total number of members for all ten councils stands at 227 with about 20 to 30 members per council.

**2. Include a discussion of the purpose of these designations and the activities (such as regional planning, information sharing and/or coordination activities) that will occur to help improve performance. For example, regional planning efforts could result in the sharing of labor market information or in the coordination of transportation and support services across the boundaries of local areas.**

The ten Regional Advisory Councils function in an advisory capacity to the Alabama Workforce Investment Area Board in the delivery of workforce development activities and services in the regions. The councils use regional labor market information, demographics, local knowledge, and other pertinent information to provide detailed information regarding regional economic and workforce needs, concerns, issues, priorities, and related action plans. Their guidance and input may include, but is not limited to, occupational trends and growth occupations in the regions, reviewing and commenting on planned education and training activities in the regions, assistance in coordination with economic development strategies and developing employer linkages in the regions, helping to establish priorities for training, assistance in identifying viable youth activities and effective youth program providers in the regions, promotion of private sector involvement in the Alabama Career Center System in the regions, assistance in recommending and evaluating eligible training and service providers, and assistance in recommendations for federal and state grant solicitations for the regions. The Regional Advisory Councils shall provide the AWIA Board written input on the regions on a regular basis, but not less than once per year.

**3. For inter-state regions (if applicable), describe the roles of the respective governors and state and local boards.**

No inter-state regions are planned.

## **F. Allocation Formulas**

- 1. If applicable, describe the methods and factors (including weights assigned to each factor) your state will use to distribute funds to local areas for the 30 percent discretionary formula adult employment and training funds and youth funds pursuant to section 128(b)(3)(B) and 133(b)(3)(B).**

The State of Alabama will utilize the formulas prescribed at Section 128(b)(2), (3) and Section 133(b)(2), (3) in local area WIA fund allocation programs during Program Years 2005 and 2006.

The State does elect to apply the Section 128(b)(3)(B)(I)(I) Youth and Section 133(b)(3)(B) Adult discretionary substate allocation formulas. The “discretionary” procedures seem an effective means to ensuring that available WIA employment and training funds are better channeled to urban areas.

The “discretionary” Youth and Adult formulas apply seventy percent weights to the basic Section 128(b)(2) and Section 133(b)(2)(A) local area statutory formulas. The remaining weights, i.e., thirty percent, are comprised of local area “excess poverty” and “unemployment above the State average” information. The Youth alternative formula is based on excess youth poverty.

The excess poverty “alternate” allocation component is derived from 2000 U.S. Census Alabama County poverty data and 2000 Alabama CPS Population data. The State has applied the same “above 7.5% of population” standard required for identifying “excess poverty” under the Welfare-to-Work program to capture the “excess poverty” component of the WIA Adult and Youth “alternate” allocation formulas.

The “Unemployment above State average” component of the WIA “discretionary” formula is calculated in much the same way. The difference is the WIA formula defines “excess unemployment” as that above 4.5% of the labor force; “unemployment above the State average” is that unemployment above the Alabama average, e.g., 5.4 percent of the labor force.

These two above “discretionary” formula elements are pooled, resulting in a single poverty/unemployment index for each county/allocation entity. In order that a greater share of available WIA resources might be directed toward the easing of poverty at the local area level, a seventy-five percent weight is assigned to the poverty factor in this pooling, and a twenty-five percent weight assigned to the unemployment factor.

- 2. Describe how the allocation methods and factors help ensure that funds are distributed equitably throughout the state and that there will be no significant shifts in funding levels to a local area on a year-to-year basis.**

The structure of the “alternate” formulas and its greater focus on the incidence of poverty at the local area – level should help lessen the adverse effects of any year-to-year fluctuations in WIA appropriation levels.

Coupled with the WIA statutory hold-harmless funding provisions, use of the alternate allocation formula further affords State-level WIA program administrators the added flexibility required to minimize any adverse effects on one or more local areas that may be brought on by year-to-year shifts in WIA funding. The weights assigned the two component formula weights, i.e. 75% and 25%, may be adjusted as required to help minimize the degree of any such year-to-year disruptions brought on by undue reduction in WIA funding levels.

**3. Describe the state’s allocation formula for dislocated worker funds under section 133(b)(2)(B).**

Section 133(b)(2)(B) Dislocated Worker funds annually allotted to the state and formula allocated among the three Alabama local areas. This allocation is accomplished using the six-part formula prescribed at Section 133(b)(2)(B)(ii). (*See following chart.*)

### DISLOCATED WORKER ALLOCATION SIX-PART FORMULA

ALLOCATION FACTOR	WEIGHT ASSIGNED IN FORMULA	DATA SOURCE(S) AND TIME PERIOD
<b>I. Average Monthly U.I. Beneficiaries (“Insured Unemployment Data”)</b>	<b>19%</b>	<b>Department of Industrial Relations/Labor Market Information - 10/03-9/04</b>
<b>1. Excess Unemployment (“Unemployment Concentrations”)</b>	<b>19%</b>	<b>Department of Industrial Relations/Labor Market Information - 10/03-9/04</b>
<b>2. Estimated Layoffs (“Plant Closing/Mass Layoff Data”)</b>	<b>19%</b>	<b>Department of Industrial Relations/Labor Market Information - 10/03-9/04</b>
<b>3. Jobs Lost (All Industries) (“Declining Industries”)</b>	<b>19%</b>	<b>Department of Industrial Relations/Labor Market Information - 2001-2002</b>
<b>4. Farm Operators Change (“Farmer-Rancher Economic Hardship”)</b>	<b>5.0%</b>	<b>1997 Census of Agriculture</b>
<b>5. Unemployment Compensation Exhaustees (“Long-Term Unemployment Data”)</b>	<b>19%</b>	<b>Department of Industrial Relations/Labor Market Information - 10/03-9/04</b>
	<b>100.0%</b>	

### LOCAL AREA FORMULA ALLOCATION CHART

PY2005 LOCAL AREA, STATE LEVEL ALLOCATIONS				
LOCAL AREA	ADULT	YOUTH	DISLOCATED WORKERS	TOTAL
AWIA	\$9,251,914	\$9,724,056	\$9,892,529	\$28,868,499
JEFFERSON	\$894,747	\$902,787	\$978,259	\$2,775,793
MOBILE	\$1,828,444	\$1,900,683	\$1,024,858	\$4,753,985
STATE-LEVEL				
15% Funds	\$2,113,253	\$2,210,740	\$2,745,149	\$7,069,142
Rapid Response			\$3,660,200	\$3,660,200
<b>TOTAL</b>	<b>\$14,088,358</b>	<b>\$14,738,266</b>	<b>\$18,300,995</b>	<b>\$47,127,619</b>

The above-outlined WIA sub-state fund allocation methods and procedures are developed and implemented only with the full cognizance and involvement of the State Board.

- 4. Describe how the individuals and entities on the state board were involved in the development of the methods and factors, and how the state consulted with chief elected officials in local areas throughout the state in determining such distribution.**

Draft allocation policies and methods are provided for review and comment to the State Board along with the allocation of funds information. The staff who perform the calculations are always available to respond to questions. Questions regarding these processes have been asked and answered at State Workforce Investment Board meetings. Local areas are notified of the outcomes in terms of funding as well as the procedures for the allocations. Local elected officials are provided drafts of allocation policies and are asked for their review and comment. This assures that time is allowed for comments prior to the time the directive is published as policy.

Revised  
8/2/05

**G. Provider Selection Policies (section 112(b)(17)(A)(iii), 122, 134(d)(2)(F).**

- 1. Identify the policies and procedures to be applied by local areas for determining eligibility of local level training providers, how performance information will be used to determine continuing eligibility and the agency responsible for carrying out these activities.**

The workforce development system established under Workforce Investment Act (WIA) emphasizes informed customer choices, system performance, and continuous improvement. The eligible training providers list is part of the strategy for achieving such goals. Local Workforce Investment Boards (LWIB), in partnership with the State, determine training program eligibility.

The ability of providers to successfully perform, the procedures local boards and the State use to establish eligibility, and the degree to which information on providers is made available to customers are key factors affecting the successful operation and administration of the eligible training providers system. Eligible training providers are those entities determined eligible to receive WIA Title I funds to provide programs of training services described in Section 134 (d) (4) of the Act to eligible adult and dislocated worker customers. After receiving core and intensive services and consultation with case managers, eligible participants who need training use the list of eligible providers to make informed choices of the type of training needed and appropriate.

Local areas strive to attract a broad array of eligible training providers in order to maximize customer choice with demand-driven training programs. As a vital ingredient in an effective local application process, local boards make publicly available the instructions for making applications.

WIA extends automatic initial eligibility to a provider that is either:

- a postsecondary institution that is eligible to receive Federal funds under Title IV of the Higher Education Act of 1965 and provides a program that leads to an associate degree, baccalaureate degree, or certificate; or
- an entity that carries out training programs under the National Apprenticeship Act.

This includes universities, colleges, community colleges, some proprietary schools, and apprenticeship programs registered with the Bureau of Apprenticeship and Training within the U. S. Department of Labor.

Such institutions or entities, though determined to be automatically eligible, must submit written training program applications to be reviewed by the LWIB in which the provider desires to provide the training program (s). Program applications will describe the submitted program as defined in 20 CFR Part 663.508.

Each LWIB has developed a written application process for initial eligibility for providers of training programs who are **not** automatically eligible. These programs must meet performance criteria in order to secure WIA training service provider status. These initial eligibility procedures include instructions on how to submit applications to the LWIB, the contents of the application, program-specific performance and cost information reporting, and any additional informational requirements that the State may require. All provider applicants will provide to the appropriate LWIB the information required by the standardized *Provider Application for Eligibility Under the Workforce Investment Act* (Form TPCS-1). The LWIB must also specify the timing, manner, and contents of the required application procedure. At a minimum, the procedures will include:

- requirement for submission of applications to the local board at such time and in such manner as required which will contain a description of the training program;
- if the provider is currently providing the training program on the date of application submission, procedures must require that the application include an appropriate performance information and cost information described in 20 CFR Part 663.540, and the program meets appropriate performance levels: and (WIA Section 122 (b)(2)(D).

Applications for training program eligibility determination will be accepted throughout the year. A LWIB shall provide a written determination of acceptance or rejection to an applying training provider within ninety (90) calendar days of the receipt of the initial eligibility determination application. LWIB staff or representatives shall, as determined reasonable by the LWIB, make an on-site

visit to training provider sites for the purpose of confirming submitted information.

Local workforce investment areas that border other states make the process known to providers in those states who may desire to apply for consideration to have programs placed on Alabama's Eligible Training Providers List. The same application and approval process is followed in receiving and processing programs submitted by out-of-state providers. Also, the State and local areas may establish reciprocal agreements with other States in order to permit approved providers programs in those states to be considered by Alabama applicants and to accept Alabama Individual Training Accounts (ITAs) in determining and providing appropriate training.

LWIB policy shall determine the circumstances under which reconsideration of a denied application may be afforded to a provider that was denied initial eligibility determination. A training provider whose application for certification was denied may reapply no sooner than six (6) months after the written notice of denial.

After a LWIB has approved a training program, including those that have automatic initial eligibility and those required to qualify for initial eligibility, the LWIB then submits a copy of the provider application including all reported program description information, performance information, and cost information to Office of Workforce Development: State Planning.

Upon receipt of LWIB approved programs, OWD will review and certify within thirty (30) calendar days of receipt of program from a LWIB. However, the LWIB may request that OWD certify a program on or about the requested date. The approved training program is then entered onto Alabama's Eligible Training Providers List and becomes available via the internet for customer and career center use.

WIA Section 122(c)(5) states that the Governor must require training providers to submit performance information annually. A waiver of this provision was requested and received (see attachment 8).

Although a waiver has been granted, training providers provide, and the State posts information as complete as possible on all training providers

#### Program Information:

- program completion rates for all individuals participating in the applicable program,
- percentage of all individuals participating in the applicable program who obtained unsubsidized employment, which may include information specifying the percentage of individuals who obtained



- unsubsidized employment in an occupation related to the program of training, and
- the wages at placement of all individuals participating in the applicable program.

Information on WIA program participants who received assistance under WIA Section 134:

- percentage of participants who have completed the applicable program and who are placed in unsubsidized employment,
- retention rates in unsubsidized employment of participants who have completed the applicable program, six months after the first day of employment,
- wages received by participants who have completed the applicable program, six (6) months after the first day of employment, and
- where appropriate, the rates of licensure or certification, attainment of academic degrees or equivalents, or attainment of other measures of skills of graduates of the applicable program.

Also, information on program costs (such as tuition, fees, books, supplies, tools, etc) must be reported for all training programs.

WDD shall assist, as necessary, in providing LWIB information on wages and retention rates in unsubsidized employment of participants of applicable programs for the period ending six (6) months after first date of employment. A LWIB may request WDD to consider supplemental follow-up information regarding training programs that might not be covered by Unemployment Insurance Wage Records.

If the WDD, after consulting with LWIB, determines that a training provider or individual representing a training provider knowingly submits erroneous information for any program, the training provider will be removed from the Eligible Training Providers List for a period of not less than two (2) years. A provider that is removed must wait at least two (2) years to submit a new application.

**2. Describe how the state solicited recommendations from local boards and training providers and interested members of the public, including representatives of business and labor organizations in the development of these policies and procedures.**

WIA planning sessions and workshops facilitated State efforts in soliciting and considering recommendations from local boards, local area training providers, members of the general public, and representatives of business and labor organizations. A directive on Certification of Eligible Training Providers was distributed to local boards and training providers. Also, a public notice was

placed in local newspapers around the state to advise interested parties of directive on the subject of determination of eligible training providers and availability for review and comments.

**3. How will the state maintain the state's eligible training provider list?**

The WDD has compiled one single State list of eligible training providers and programs from local areas in the state. The Eligible Training Providers List consists of program description information, performance information, and cost information for each approved training program and is available via the Internet. The State's Eligible Training Providers List is updated as changes occur and are reported to WDD in order to provide current and up-to-date information to allow for informed customer choices.

**4. Describe the procedures the governor has established for providers of training services to appeal a denial of eligibility by the local board or the designated state agency, a termination of eligibility or other action by the board or agency, or a denial of eligibility by a one-stop operator. Such procedures must include opportunity for a hearing and time limits to ensure prompt resolution.**

**Local Level Appeals:** If a LWIB denies an application for initial eligibility or terminates a program's eligibility, the board must provide notice with a letter of denial/termination and the reasons for denial/termination as well as the description of an appeal process.

At a minimum, the procedure must allow:

- an opportunity for an informal resolution and hearing to be completed within sixty (60) calendar days of the filing of the grievance or complaint; and
- an opportunity for a local level appeal to State-WDD when:
  - > no decision is reached at the local level within sixty (60) calendar days, or
  - > the applicant is dissatisfied with the local level hearing decision.

A training provider may submit a written request for an appeal of a local level decision to the Director of Workforce Development Division (WDD) within thirty (30) calendar days after written notification of local boards' decision. The WDD Director or designee will allow for a hearing or other method of resolution agreeable to parties involved. The hearing or other means of resolution shall be completed and a decision issued within thirty (30) calendar days of WDD receipt of the appeal.

If the provider disagrees with the decision of the WDD Director, decision may be appealed to the OWD Director. The OWD Director shall review the appeal and issue a decision within thirty (30) calendar days.

The decision of the OWD Director is final and may not be appealed to the Secretary (20 CFR Part 667.640 (b)).

**State Level Appeals:** WDD-State denial of an application for initial eligibility, termination of a program's eligibility, or other enforcement action with respect to a training provider may be appealed. A written request for appeal must be submitted to Director of OWD within thirty (30) calendar days of the date written notice of denial, termination, or other enforcement action from WDD was received by the training provider. The appeal may be requested by the provider or LWIB of the area in which the provider applied. The OWD Director or designee shall review the appeal and issue a final decision within sixty (60) calendar days of receipt of the appeal.

The decision of the OWD Director is final and may not be appealed to the Secretary (20 CFR Part 667.640 (b)).

**5. Describe the competitive and non-competitive processes that will be used at the state level to award grants and contracts for activities under title I of WIA, including how potential bidders are being made aware of the availability of grants and contracts. (section 112(b)(16))**

The state has Procurement Procedures, which were developed in accordance with 29 CFR97.36. Public notices, mass mailings to industry trade associations, posting notices on our Website (to include RFPs) are used based upon the particular service(s) being sought. Proposals are reviewed by Proposal Review Teams and subsequent recommendations made for funding to occur (possibly subject to negotiations). In regard to the Incumbent Worker Training (IWT) program, information is provided on the Website, presentations are made at Chambers of Commerce, and other meetings. Applications, which are reviewed and acceptable, are funded on a first come, first funded basis until available funds for the IWT program are obligated. Sole-source procurements are limited in number and should be limited to the criteria at 29 CFR97.36(d)(4).

**6. Identify the criteria to be used by local boards in awarding grants for youth activities, including criteria that the governor and local boards will use to identify effective and ineffective youth activities and providers of such activities. (section 112(b)(18)(B))**

The criteria that will be used by the local area workforce boards will include requirements in the Workforce Investment Act, requirements in the WIA

regulations, State policies, and the recent youth strategy emphasis placed by the Department of Labor. These decisions will be made by local and State Workforce Investment Boards with input from youth councils. Those discussions have begun, but they have not concluded at this time.

#### **H. One-Stop Policies (112(D)(14))**

- 1. Describe how the services provided by each of the required and optional one-stop partners will be coordinated and made available through the one-stop system. Include how the state will consolidate Wagner-Peyser Act funds to avoid duplication of core services. (section 112(b)(8)(A))**

Services are coordinated through frequent Cross-Awareness Training sessions and Career Center staff meetings. This communication about services and programs is essential to coordination. Close coordination also exists with non-located partners. These partners participate on the local Career Center Advisory Committees, which have a significant private sector membership, in addition to the workforce agencies represented.

One-Stop partner cooperation, through the coordination of staff activities and leveraging of resources, will facilitate the integrated service delivery of core services, thus avoiding duplication while gaining efficiencies. In generic service areas, such as reception, resource room, staff is virtually fungible. This fungibility is also being advanced in the area of employer relations through Career Center partner services marketing efforts. This integration and consolidation of services will continue with further staff capacity building gained through cross awareness training.

- 2. Describe how the state helps local areas identify areas needing improvement and how technical assistance will be provided.**

The State-level Career Center partners have put together review teams to assess local implementation of the State Workforce Investment Board's Career Center Operations Template. These review teams reviewed Career Centers as one operation and interviewed staff in all comprehensive and satellite Career Centers in the State and wrote reports on the results in comparing actual practice against the requirements. Monitoring is also conducted to determine how the individual partner agencies are performing against the requirements which apply to them. Partner agencies have individual monitoring and assessment systems.

- 3. Identify any additional state-mandated one-stop partners (such as TANF or Food Stamp Employment and Training) and how their programs and services are integrated into the one-stop career centers.**

TANF is one of the partners in Alabama's Career Center System. They are not, however, collocated in Career Centers. They are included in partner committees at the State and local level.

**I. Oversight/Monitoring Process – Describe the monitoring and oversight criteria and procedures the state utilized to move the system toward the state's vision and achieve the goals identified above, such as the use of mystery shoppers, performance agreements. (section 112(b)(14))**

The State Program Integrity Section is responsible for providing the Governor and State Board with the capability of oversight of all WIA grant recipient activities and of self-evaluation of State supported programs and services. Monitoring responsibilities include a systematic, periodic, and objective review of WIA management/fiscal systems to ensure compliance with the Act, WIA Regulations, Governor's Workforce Development Directives, Five-Year Plans, Grant and Subgrant Agreements, policies and other Federal and State contractual agreements funded by the Workforce Investment Act. Additionally, the State Program Integrity Section provides the Governor with an on-site technical assistance capability for programs which do not meet performance criteria or for programs which have otherwise demonstrated a need for technical assistance.

Specifically, the State Program Integrity Section reviews activities, services, administration, and management practices to ensure compliance with the Act, Federal and State Regulations, OMB Circulars, Government Auditing Standards, ADECA Audit Policy, Generally Accepted Accounting Procedures (GAAP), State Law and Governor's Workforce Development Directives.

The section monitors sub-recipient performance against the specifications in the WIA Plan and achievement against performance standards. Included in this activity, is an annual review of WIA self-evaluation procedures, monitoring procedures, reports, fiscal procedures, analysis of program performance evaluations and on-site visits. An annual review is conducted in accordance with the requirement of WIA Section 184(a)(4). In order to assure objective oversight and self-evaluation, the State Program Integrity Section reviews the operation of programs conducted in each WIA in conjunction with evaluation of the availability, responsiveness, and adequacy of the state-level functions; it then makes comments and recommendations to the WDD Division Director with respect to ways to improve or maintain effectiveness of such programs and services. The State Program Integrity Section documents its review activities, the findings resulting there from and remedial action recommended or instituted and relevant documentation is maintained on file within the section. Employment Service has a Local Office Assessment Program whereby a team visits local offices periodically to evaluate and assess local office operations; to provide technical assistance and make recommendations for corrective action where needed to improve service to applicants and employers; and to assist in the maximum utilization of staff resources.

Career Centers are reviewed by teams made up of representatives of the partner agencies which have a presence within the Career Centers. These reviews are conducted using the Career Center Operations Template as the policy guidance. These reviews provide guidance to local areas and to the individual Career Centers on the establishment of Career Centers according to the policies and guidance of the Department of Labor and the State workforce partners.

The use of mystery shoppers has been discussed but has not yet been decided upon.

**J. Grievance Procedures. Attach a copy of the state's grievance procedures for participants and other affected parties (including service providers). (Section 122(g) and 181(cc)).**

Grievance Procedures are at attachment 10.

**K. Describe the following state policies or procedures that have been developed to facilitate effective local workforce investment systems (section 112(b)(17)(A) and 112(b)(2))**

**1. State guidelines for the selection of one-stop providers by local boards.**

The State's guidelines for the selection of one-stop providers by local boards were adopted in February of 2000. It was developed in accordance with the requirements of 29 CFR Part 97 and 29 CFR Part 95, *Uniform Administrative Requirements for State and Local Governments (Common Rule)*, and the cost principles contained in OMB Circular A-87. These procurement procedures are applicable to programs to include the State's Workforce Investment Board, the state Administrative agency, local workforce investment areas/substate grantees, and local workforce investment boards (WIBs).

**2. Procedures to resolve impasse situations at the local level in developing memoranda of understanding (MOUs) to ensure full participation of all required partners in the one-stop delivery system.**

The State hosts WIA Roundtable meetings once every two months at which state-level partner agencies are represented plus local area representatives. When an impasse develops, local area staff know the appropriate state-level staff to approach to work through any difficult area.

**3. Criteria by which the state will determine if local boards can run programs in-house.**

No local boards run programs in-house.

**4. Performance information that on-the-job training and customized training providers must provide.**

On-the-Job Training and customized training providers are exempted from the State's eligible training provider policy, but local Career Centers are required to maintain performance information of these providers.

**5. Reallocation policies.**

Local areas quarterly provide the Office of Workforce Development with local area Workforce Investment Act expenditure reports. Both local area and state reports are submitted 35 days after the end of each quarter. These reports will be used to prepare statewide Workforce Investment Act expenditure reports, to be submitted to the USDOL within 45 days following each quarter.

Workforce Investment Act grant funds are available to the State for the program year of allotment and the two succeeding program years. Funds allocated by the State to a local area for a program year are available for expenditure only during that program year and the succeeding program year. Funds not expended by a local area in the two-year period must be returned to the State. Funds so returned are available for expenditure by State and local areas subrecipients only during the third program year of availability.

This expenditure information will trigger any necessary State reallocation of Title I funds. Such reallocations would be from an underexpending or under obligating local area to local areas in compliance with Title I minimum expenditure requirements.

The Governor will reduce state and local area current year allocations by the amount of all unexpended previous year funds in the previous years' expenditure requirement is not met.

A USDOL Title I Notice of Obligation will formally adjust the state's current year allotment to reflect Title I funds gained or lost through national reallocation/deobligation. Upon receipt of nationally reallocated funds, the Governor will immediately allocate the additional funds using the current year Title I allocation formula(s).

Voluntary local area fund reallocations are permissible, but can only be finalized once a local area has agreed to accept the funds another local area wishes to deobligate. Any such voluntary reallocation must be accomplished prior to the fourth quarter of a given program year. Notice of all state/local area fund reallocations is formally transmitted in the State's Workforce Investment Act Allocation/Allotment directives, and is acknowledged by the substate areas through appropriate changes to their respective local area grant agreement packages.

State staff periodically review both State-level and local area-level programs' actual performance against corresponding budgeted or otherwise planned performance levels. These efforts will highlight any areas of local area performance that significantly depart from corresponding service level projections, providing WIA program managers with the data they require in order to develop and/or refine operational strategies.

**6. State policies for approving local requests for authority to transfer funds (not to exceed 20 percent) between adult and dislocated worker funding streams at the local level.**

The Statewide WIA Fiscal Procedures Manual is a financial manual, developed by the State WIA Office, which provides fiscal guidance to local areas and state-level service providers. It addresses policies such as allowable costs, cash management requirements, obligation requirements, and fund transfers necessary for the efficient management of grant funds. The Manual includes copies of the various forms used in reporting expenditures and/or requesting draw down funds. The Manual is modeled after requirements of the Act and implementing Federal Regulations.

The WIA Fiscal Procedures Manual, Section III.G.1., discusses local area Adult-Dislocated Worker program fund allowability. WIA Section 133(b)(4) authorizes local areas to transfer up to 20% of allocated Adult and/or Dislocated Worker funds between the two programs. **Per USDOL correspondence of March 24, 2005, this transfer authority is raised, through June 30, 2005, to 100 percent of Adult/Dislocated Worker funds. A subsequent request to USDOL/ETA for an extension of this expanded transfer authority, through June 30, 2007, is currently pending.**

All Adult-Dislocated Worker Program fund transfer activity will be documented within appropriate local area grant/financial records. Each local area request for fund transfer must be supported by reasonably sufficient justification, detailing, i.e., how the action, if approved, will better enable the local area to deliver workforce development services to individuals eligible for and in need of those services.

**7. Policies related to displaced homemakers, nontraditional training for low-income individuals, older workers, low-income individuals, disabled individuals and others with multiple barriers to employment and training.**

Operational and organizational ties between the State, State and Local Boards, and the several related agencies and programs work to help ensure the employment and training needs of **displaced homemakers, older workers, low-income individuals, disabled individuals, and other individuals with multiple barriers to employment** are duly considered within the Workforce Investment Act program planning and resource allocation process.



Comprehensive Title I program activity planning and resource allocation design provides additional assurance of the equitable representation of such “special needs” populations.

Strong coordinative linkages between State/Local Boards and Senior Citizens Employment Program (SCEP) representatives further supports the objective of providing adequate and appropriate workforce development program services to the Older Workers population. Similarly, the maintenance of appropriate WIA services delivery to persons with disabilities is supported by Alabama Department of Rehabilitation Services (ADRS) representation on State/Local Boards.

Federal guidance regarding workforce development service delivery to these targeted population segments is generally disseminated by the State to local Boards, One-Stop Career Centers, and other One-Stop Partner agency principals via Governor’s Workforce Development Directive issuance or Career Center Advisory Letters. Issues of particular immediacy and gravity may require more direct transmittal vehicles, i.e., correspondence directly from the Governor to the affected workforce development principals.

The Alabama State Employment Service and the Alabama Department of Rehabilitation Services have partnered to better ensure that persons with disabilities have full access to all our services. Rehabilitation Services counselors have been provided space in ES local offices to interview clients. In each local office there is at least one person designated whose duties shall include functional responsibilities for services to persons with disabilities, as prescribed in Section 8(b) of the "Wagner-Peyser Act." Persons with disabilities will be provided basic core services under the Wagner-Peyser Act along with more intensive services when indicated. Referral to training under WIA or Rehabilitation Services will also be accomplished where appropriate.

- 8. If you did not delegate this responsibility to local boards, provide your state’s definition regarding the sixth youth eligibility criterion at section 101(13)(c)(iv) (“an individual who requires additional assistance to complete an educational program, or to secure and hold employment”). (section 112(b)(18)(A) and 20 CFR 664.210))**

This responsibility was delegated to local boards.

**IX. Service Delivery – Describe the approaches the state will use to provide direction and support to local boards and the one-stop career center delivery system on the strategic priorities to guide investments, structure business engagement, and inform service delivery approaches for all customers. (section 112(b)(17)(A) Activities could include**

**A. One-stop Service Delivery Strategies (112(b)(2) and 111(d)(2)).**

- 1. How will the services provided by each of the required and optional one- stop**

**partners be coordinated and made available through the one-stop system? (section 112(b)(8)(A)).**

Services are coordinated at the State level through a Career Center Partner Committee. This Committee meets on an as-needed basis to look at issues in the Career Center System. It reviews local Career Center operations and makes policy recommendations in the form of Alabama's Career Center System Memoranda. These are signed by the directors of each of the partner departments. One of the items put forth by this Committee was the Career Center Operations Template. This was developed as a policy recommendation by the Committee, then approved by the State Workforce Investment Board. The Operations Template contains instructions for the coordination programs and services through communication at the Career Center level. Staff meetings and cross-awareness meetings are required for each Career Center, as well as having an advisory committee to review what the Career Center to advise it on coordination and services provided.

**2. How are youth formula programs funded under section 128(b)(2)(A) integrated in the one-stop system?**

Youth programs are made known to Career Center staff for their information and action purposes. Many youth programs depend on the Career Center for recruitment, eligibility determination, and assessment. Even for those programs that do not depend on the Career Center for these services, the Career Centers are notified of these programs for coordination purposes.

**3. What minimum service delivery requirements does the state mandate in a comprehensive one-stop centers or affiliate site?**

WIA Title I-B (adult, youth, and dislocated worker) services, Employment Service, Rehabilitation Services, Adult Education, Trade Act, Labor Market Information, and Veterans Services. Many other services are available in some of the comprehensive centers.

**4. What tools and products has the state developed to support service delivery in all one-stop centers statewide?**

A statewide Career Center System logo has been adopted, Statewide name tags, requirement to stop using signs that separate partners by agency affiliation and to start using signs that denote function, having a single telephone system for a Career Center, and using Career Center letterhead. Statewide marketing products are currently being developed.

- 5. What models/templates/approaches does the state recommend and/or mandate for service delivery in the one-stop centers? For example, do all one-stop centers have a uniform method of organizing their service delivery to business customers? Is there a common individual assessment process utilized in every one-stop center? Are all one-stop centers required to have a resource center that is open to anyone?**

A Career Center System Operations Template was approved by the State Workforce Investment Board in 2002. This template is attachment 9, and it contains mandated policies for all Career Centers in the State. Career Centers do not have a uniform method of organizing their service delivery to business customers, but the local areas work closely together and similar methods are used. There is not a single assessment process used at all Career Centers. All Career Centers are required to have a resource center.

- B. Workforce Information – A fundamental component of a demand-driven workforce investment system is the integration and application of the best available state and local workforce information including, but not limited to, economic data, labor market information, census data, private sources of workforce information produced by trade associations and others, educational data, job vacancy surveys, transactional data from job boards, and information obtained directly from business. (section 111(d)(8), 112(b)(1), and 134(d)(2)(E))**
- 1. Describe how the state will integrate workforce information into its planning and decision making at the state and local level, including state and local boards, one-stop operations, and case manager guidance.**

One of the goals of the Workforce Planning Council is, “To design a comprehensive, market-driven, performance-based workforce development system that is based on labor market analysis and serves as a vital resource which readily adapts to dynamic occupational and economic analysis.” In order to accomplish this goal, it is recognized that coordination and communication among several parties will be required. To that end, the Workforce Planning Council has appointed task forces to prepare the way. This action is well under way. In the meantime, our Labor Market Information staff are providing training to workforce development staff and economic development staff as well. The training has allowed economic developers and Workforce development staff to get to know each other better and provided valuable in-depth knowledge on the available information.

While Macro-Workforce Information is a fundamental component of a demand-driven Workforce Investment System, Micro-Workforce Information obtained directly from businesses is also valuable both as a check on the Macro Information and as an early indicator of possible changing trends in “demand.”

Employment Service through its Employer Relations Program and Career Center Business Services Marketing program provide insight to the state's Business Community one-on-one and its demands.

Another measure of the pulse of business demand is the Alabama State Employers Committee (ASEC). This diverse group of business owners and leaders from throughout the state, voluntarily serves in an advisory capacity to make recommendations to enhance workforce services. The organization comprises 38 local community committees representing approximately 2,500 employers who work with local ES offices throughout the state. ASEC members are actively involved in Alabama's Career Center System as several are members of the state and local boards.

- 2. Describe the approach the state will use to disseminate accurate and timely workforce information to businesses, job seekers, and employment counselors, in easy to use formats that are readily accessible within one-stop career centers and at remote locations such as libraries, schools, worksites, and at home.**

Information will be provided over the Internet on the Labor Market Information web site. The site will have links to information that is related but not directly on the web site.

While Workforce Information is available and accessible at many locations as well as electronically, a lack of awareness of the existence of this information by potential users often precludes its use, particularly by the Business Community. The Employer Relations and Career Center Business Services Marketing programs help raise employer awareness of Workforce Information and its availability.

- 3. Describe how the state's Workforce Information Core Products and Services Plan is aligned with the WIA State Plan to ensure that the investments in core products and services support the state's overall strategic direction for workforce investment.**

These two plans are tied together through the State's Workforce Development Strategic Plan, which coordinates Workforce Development agencies and Labor Market Information (Attachment 4).

- 4. Describe how state workforce information products and tools are coordinated with the national electronic workforce information tools including America's Career Information Network and Career Voyages.**

The Office of Workforce Development (OWD) in collaboration with its partners in the Alabama Career Center System has two entities that coordinate national electronic workforce information tools including America's Career Information Network (ACIN) and Career Voyages. These entities are OWD's Alabama Career Information Network (ACIN) System and the Alabama Department of Industrial Relations (ADIR), Labor Market Information (LMI) Division.

ACIN is an integrated, results-oriented statewide system for providing young people and adults (K-Adults) with critical career information resources and the skills they need to make effective educational and career decisions throughout their lives. ACIN has expanded its resource capacity to include national electronic tools provided by various Federal agencies, i.e. Department of Labor, Department of Education – Office of Vocational and Adult Education –America's Career Resource Network, etc. ACIN's Internet webpage has links to the ADIR LMI Division's website to additionally tie into various state and national electronic resources and tools.

The ADIR LMI Division is committed to providing consumers of labor market information the highest quality data available using established methodologies from the Bureau of Labor Statistics. With various WIA partners across the state in constant need of more detailed, demand-driven and localized data regarding the workforce, industries, occupations, skill levels and other economic and demographic factors, the ADIR LMI Division has expanded its resources and tools to include national electronic tools such as America's Career Information Network, O\*NET, and Career Voyages.

In fact, ADIR has risen to meet this need for more information with a customized training curriculum utilizing the expertise and talents of national speakers and trainers and the wealth of national data, information and resources based at the national level as well as the state. The ADIR LMI Division and the ACIN System are using creative approaches to the delivery of career-related/labor market information utilizing Internet-based systems, professional development activities to instruct customers in the use of this system and to tie in to the America's JOBS Network Toll-Free Help Line.

## **C. Adults and Dislocated Workers**

### **1. Core Services Section 112(b)(17)(a)(i)**

#### **a. Describe state strategies and policies to ensure adults and dislocated workers have universal access to the minimum required core services as described in section 134(d)(2).**

Local areas are required by the State to discuss who provides core services and how they are provided in their Memorandum of Understanding (MOU)

with their local partners. The provision of these services at the local area level is checked by state-level monitoring by the Program Integrity Section, as discussed elsewhere.

Strategies/Policies to ensure Adults & Dislocated Workers have universal access minimum required core services.

Core services will be provided through the Wagner-Peyser Grant with services delivered and adults and dislocated workers having universal access to these services through the Career Center System. Self registration will be available through AJL where an individual or employer may access the system and register for work or list job openings.

- b. Describe how the state will ensure the three-tiered service delivery strategy for labor exchange services for job seekers and employers authorized by the Wagner-Peyser Act includes: (1) self-service, (2) facilitated self-help service, and (3) staff-assisted service, and is accessible and available to all customers at the local level.**

Wagner-Peyser labor exchange services for job seekers and employers will continue to strive to deliver customer-focused, technologically advanced, outcome-driven services achieving high standards of customer satisfaction. This will be accomplished through a three-tiered service delivery triage strategy with increasing emphasis toward self-service.

Services will be tiered to offer self-service first, facilitated self-help if needed, and staff-assisted service if needed. Employment Service will continue its proactive partnership-building approach to an integrated workforce delivery system through adaptation of new technologies and automation enhancements to expand customer services and workforce information available electronically through self-service.

Conversion to Alabama Job Link (AJL), a new web-enabled One-Stop workforce development system providing for self-registration and the opportunity of self-service for job seekers and employers as well as job matching activities, will empower customers with new options for service. Jobseekers will have the ability to establish an Internet account to manage their job search activities or register with labor exchange activities. Employers will be able to establish an account to manage job openings and view job seeker resumes.

Availability and accessibility of self-help as a choice of customer service has also been enhanced through the installation of personal computers with Internet connections in Resource Rooms of all Career Centers.

For customers requiring facilitated self-help or staff-assisted service, Wagner-Peyser-funded state merit system staff will assist in providing core services.

- c. Describe how the state will integrate resources provided under the Wagner-Peyser Act and WIA title I for adults and dislocated workers as well as resources provided by required one-stop partner programs, to deliver core services.**

One-Stop partner cooperation, through the coordination of staff activities and leveraging of resources, will further facilitate the integrated service delivery of core services to Adults and Dislocated workers. In generic service areas, such as reception and resource room, staff is virtually fungible.

- 2. Intensive Services. (section 112(b)(17)(A)(i) Describe state strategies and policies to ensure adults and dislocated workers who meet the criteria in section 134(d)(3)(A) receive intensive services as defined.**

Intensive services are available to all adults and dislocated workers who meet the eligibility criteria through Alabama's Career Center System. They receive assessment, structured interviews, and at least the beginning of an individual employment plan. Career Center staff have received instruction in these processes through state-sponsored Career Development Facilitator training, and through statewide conferences. Not all receive all of the menu of intensive services, but eligible adults and dislocated workers are provided services that are deemed by the assessment process to be most helpful to them.

- 3. Training Services. (section 112(b)(17)(A)(i))**

- a. Describe the governor's vision for increasing training access and opportunities for individuals including the investment of WIA title I funds and the leveraging of other funds and resources.**

The Governor's vision is expressed in Executive Order 17 and in the State's Strategic Workforce Development Plan. They call for close coordination and collaboration in workforce development opportunities. The way that this occurs on an on-going basis is largely through the Workforce Planning Council. This Council has as members the directors of those workforce development agencies that are at the core of the Workforce Investment Act, as stated in Executive Order 17. An extensive list of task forces are working on actual collaborative events at this time. Many of these are already in place and many more are expected in the future. The Governor realizes the lack of funding in this area and the necessity for collaboration.

- b. Individual Training Accounts**

**i. What policy direction has the state provided for ITAs?**

The policy direction given by the State is that training services must be provided through Individual Training Accounts except for those cases outlined in the Workforce Investment Act. Local boards may place limits on ITAs based on the needs of the individual based on the individual employment plan or there may be a policy decision by the local board to establish a range of amounts or a maximum amount applicable to all ITAs. Also, ITAs may only be with training providers which appear on the State's Eligible Training Provider list, which is accessible on-line. Training services are to be provided in a manner that maximizes customer choice while being for jobs that are in demand.

**ii. Describe innovative training strategies used by the state to fill skill gaps. Include in the discussion the state's effort to broaden the scope and reach of ITAs through partnerships with business, education, economic development and industry associations and how business and industry involvement is used to drive the strategy.**

Many innovative training strategies are being discussed, in particular through and in conjunction with members of the Workforce Planning Council. One case is the need for welders in the ship building industry in Mobile resulted in a partnership among the Department of Postsecondary Education, the Alabama Industrial Development Training agency, and the Office of Workforce Development. Each contributed resources and made the program a success for the businesses needing the trained workers. Another example is the need for industrial maintenance workers because of growing needs for those skilled in this occupation. The Office of Workforce Development, the State Department of Education (elementary and secondary), the Department of Postsecondary Education, and local secondary and Postsecondary schools formed a partnership to develop a model training program. This program is in its first months but is doing well from all reports. These are but two examples of what we hope will be many.

**iii. Discuss the state's plan for committing all or part of WIA title I funds to training opportunities in high growth, high-demand, and economically vital occupations.**

The first part of the answer is that one must first develop the information to determine what is "high growth". We have been working with our Labor Market Information agency for several months to develop the best



information possible at the local area and regional level. They have provided training in use and analysis of this information to workforce development and economic development personnel from all over the State. We have a good start in making the determination of in what areas we should train. Further work is being accomplished through the Workforce Planning Council to build the partnerships that are required to get the maximum collaboration with these workforce development partners.

**iv. Describe the state's policy for limiting ITAs (e.g., dollar amount or duration)**

These decisions are left to local workforce boards.

**v. Describe the state's current of planned use of WIA title I funds for the provision of training through apprenticeship**

The National Apprenticeship System has long been a leader in the training and education field, developing and registering apprenticeship programs. The Alabama Workforce Development System partners are learning about the new opportunities to help close the gap between employers looking for workers and jobseekers looking for work through the efforts of the U.S. Department of Labor, Office of Apprenticeship Training, and Employer and Labor Services staff located in Alabama.

The Apprenticeship State Director serves on the State Workforce Investment Board, the Alabama Career Technical Education Advisory Council, and recently was appointed to the Governor's Workforce Planning Council's Taskforce Committees on Worker Credentialing and the 21<sup>st</sup> Century Technician Committee. At this time there are no WIA Title I funds for the provision of training through apprenticeship; however, the Apprenticeship State Director has met with the Director of the Office of Workforce Development to discuss collaboration of workforce activities with the state's apprenticeship program.

**vi. Identify state policies developed in response to changes to WIA regulations that permit the use of WIA title I financial assistance to employ or train participants in religious activities when the assistance is provided indirectly (such as through an ITA) (20 CFR section 667.266(b)(1)).**

There are no state policies in place to use WIA financial assistance to employ or train participants in religious activities when the assistance is

provided indirectly through an Individual Training Account activity or any other WIA activity. .

- c. **Eligible Training Provider List. Describe the state's process for providing broad customer access to the statewide list of eligible training providers and their performance information including at every one-stop career center. (section 112(b)(17)(A)(ii)).**

Alabama's Eligible Training Providers List is accessible via the Internet, thus making it available to customers at will. The providers list is updated as necessary with the goal of providing as accurate and up-to-date information to customers as possible in demand-driven occupations. Career centers are equipped with computers in center resource rooms which are available to customers who might not have access otherwise. If customers need assistance with computer operation, that assistance is provided. Also; immediate access allows career center case managers immediate access to the eligible training providers list to assist customers in making informed choices.

- d. **On-the Job Training (OJT) and Customized Training (sections 112(b)(17)(A)(i) and 134(b)). Based on the outline below, describe the state's major directions, policies, and requirements related to OJT and customized training.**

- i. **Describe the governor's vision for increasing training opportunities to individuals through the specific delivery vehicles of OJT and customized training.**

The Governor's vision for workforce development does not deal specifically with OJT and customized training. The Governor's vision does relate to having demand-driven training with OJT and customized training as two of the options for training.

- ii. **Describe how the state:**

- **Identifies OJT and customized training opportunities;**
  - The State does not identify OJT and customized training opportunities – local areas do.

- **Markets OJT and customized training as an incentive to untapped employer pools including new business to the state, employer groups;**
  - Local areas market their training programs. A statewide marketing campaign is in the works, but it does not specifically market these two training options.
- **Partners with high-growth, high-demand industries and economically vital industries to develop potential OJT and customized training strategies;**
  - The State does not partner to develop these two training options. Local areas would be the ones to do this.
- **Taps business partners to help drive the demand-driven strategy through joint planning, competency and curriculum development; and determining appropriate lengths of training, and;**
  - These are local activities and strategies.
- **Leverages other resources through education, economic development and industry associations to support OJT and customized training ventures.**
  - These are local area activities and strategies.

#### **4. Service to Specific Populations (section 112(b)(17)(A)(iv))**

- a. **describe the state's strategies to ensure that the full range of employment and training programs and services delivered through the state's one-stop delivery system are accessible to and will meet the needs of dislocated workers, displaced homemakers, low-income individuals such as migrants and seasonal farm workers, women, minorities, individuals training for nontraditional employment, veterans, public assistance recipients and individuals with multiple barriers to employment (including older individuals, people with limited English-speaking proficiency, and people with disabilities).**

The State has developed training especially tailored to assisting anyone who is unemployed or underemployed to get in or back in the workforce. The program is called the Focused Industry Training (FIT) program, and it helps an individual to upgrade his or her employability by providing adult education, interviewing skills, lean manufacturing, basic manufacturing, and

other in-demand skills, with the assumption that manufacturing entities train employees in many of the specialties needed. Companies frequently are looking for candidates with basic skills who will come to work regularly and on time. These training classes are open to all and all of the groups mentioned are recruited into this specific training and into all services provided by the Career Centers.

The State's role is to do monitoring and reviews to ensure that local areas and their Career Centers are fulfilling their role in providing access to all who are eligible.

**b. Describe the reemployment services you will provide to unemployment insurance claimants and the Worker Profiling services provided to claimants identified as most likely to exhaust their unemployment insurance benefits in accordance with section 3(©)(3) of the Wagner-Peyser Act.**

Reemployment Services provide direct staff-assisted job search assistance and labor market information early in the onset of unemployment in order to make it possible for the claimant to return to suitable employment in the shortest possible time.

All UI claimants seeking labor exchange assistance will be provided core services, as appropriate, to include: assessment, job search planning, provision of labor market information, job development, testing, resume preparation assistance, and selection and referral to available jobs. Priority of service for UI claimants for selection and referral services will continue to be emphasized as reaffirmed in DIR Memorandum No. 1157, Supplement No. 5, Employment Service Application-Taking Policy.

Job Search Workshops will be available to all UI claimants through Career Centers or affiliated locations. This intensive, staff-assisted service will focus on job search, application completion, resume preparation, and interviewing skills. "Orientation" to the Career Center Resource Room will be an integral part of every workshop. These resource rooms contain a variety of self-help print, video, and electronic career guidance tools and materials to assist job seekers in conducting their own self-directed job search. All Career Centers provide access to the Internet.

Employment Service, through the Career Center system, is the primary service provider for Worker Profiling Reemployment Services (WPRS) and will provide services to those claimants identified according to profile data. All Career Centers will have access to the profiled claimants in order to assist in their return to work.

Profiled UI claimants are provided services on a timely basis. Individualized plans for their return to the work force are developed. Orientation, assessment, counseling, testing, and job search activities are scheduled as needed and as identified in a service plan. The individual service plan is designed according to each individual claimant's situation and may indicate various steps in the Job Search Activity. Referral to intensive services and training will be accomplished as indicated in the plan.

Feedback is provided through an automated on-line system, Reemployment Services System (RES), which reports and tracks needed services and outcome results. The UI automation program, in order to observe progress, as well as provide reports and data for analysis, monitors this program. A customer satisfaction evaluation system is in place to determine the effectiveness of the delivery system in meeting customer needs and expectations. The survey instrument is provided to every claimant.

**c. Describe how the state administers the unemployment insurance work test and how feedback requirements (under section 7(a)(3)(F) of the Wagner-Peyser Act) for all UI claimants are met.**

While the primary role of the Employment Service is to provide an integrated labor exchange, it has a responsibility to assist in maintaining the integrity of the entire Employment Security System. Employment Service administers the work test for the State Unemployment Compensation System (W-P 7(a)(3)(F)) providing job finding and placement services for Unemployment Insurance (UI) claimants. The work test involves assessing the claimant's availability and efforts to search for work. The results of the work test are reported to the appropriate Unemployment Insurance authority.

Agency instructions have been issued by both the Employment Service Division and the Unemployment Compensation Division detailing procedures established to (1) maintain linkages between the two agencies in order to ensure maximum exposure to all Employment Service activities for the Unemployment Insurance claimant, and (2) to report information bearing on the claimant's eligibility determination, to the unemployment compensation agency. Verification of UC claimant registration with ES is accomplished through an automated system, which assures that all claimants are duly registered, entered into the active applicant file, and are provided appropriate services.

Wagner-Peyser funded staff do not participate directly in the conduct of the Eligibility Review Program. However, Wagner-Peyser staff do participate in the follow-up process to ensure that UI eligibility issues are resolved in accordance with Section 5(b)(2) of the Wagner-Peyser Act. This is accomplished through the coordination of employment services with the

provision of unemployment insurance claimant services. Upon referral to ES an issue code 07 is established for claimants, who are required to make an active search for work, to register with ES within seven calendar days in order to fulfill this obligation. Upon compliance with this requirement, ES staff clears the 07 issue with the entry into the system of the registration and/or services provided, thus allowing the claimant to remain eligible for benefits.

**d. Describe the state's strategy for integrating and aligning services to dislocated workers provided through the WIA rapid response, WIA dislocated worker, and Trade Adjustment Assistance (TAA) program. Does the state have a policy supporting co-enrollment for WIA and TAA?**

Alabama's State Dislocated Worker Unit (DWU) and Rapid Response Team Section is organizationally situated within Alabama's Office of Workforce Development (OWD) which is responsible for the day to day planning, administration and oversight of dislocated worker program activities. The OWD has entered into an agreement with the Employment Service and Unemployment Compensation Divisions of the Alabama Department of Industrial Relations (DIR) to provide coordination and support of Rapid Response and Trade Adjustment Assistance functions statewide. Information relative to dislocation events (i.e. plant closings/mass layoffs) and Trade Adjustment Assistance petition filings are shared between the OWD and DIR on a daily basis via e-mail, periodic activity reports and telephone communications.

Written policy instructions specifically addressing coordination of the above referenced activities are contained in Governor's Workforce Development Directives (PY 2000-32 Subject: Worker Adjustment and Retraining Notification (WARN) Act and Reporting of Actual or Potential Employee Layoff Activity) and PY 2002-13 (Alabama Career Center System and Rapid Response Responsibilities relative to the Trade Adjustment Assistance Reform Act of 2002). Directive PY 2002-13 specifically addresses co-enrollment for WIA and TAA.

Employment Service, through the One-Stop System, participates in efforts to serve dislocated workers, offering a wide variety of services, to include the following: employability development services, referral to training, and/or referral and placement activities. Additionally, through contract with WIA, resources are leveraged with provision of Job Search Workshops for Dislocated Workers under Rapid Response and/or TAA.

DIR has been designated with responsibility for processing the Trade Adjustment Assistance (TAA) programs. Because of the requirement of rapid and early intervention in providing the opportunity for workers to be enrolled

in training, ES, will cooperate with the Unemployment Compensation Division, which has been designated by the Department Director as the entity responsible for petition processing.

The Employment Service, as a One-Stop partner, also recruits, certifies eligibility, and/or refers Dislocated Workers to other agencies for intensive services, classroom training and individual referral slots. Other basic services, such as application taking, assessment, counseling, testing, selection and referral to available jobs, are also provided to Dislocated Workers, as resources permit.

- e. How is the state's workforce investment system working collaboratively with business and industry and the education community to develop strategies to overcome barriers to skill achievement and employment experienced by the populations listed in paragraph (a.) above and to ensure they are being identified as a critical pipeline of workers?**

Item 4.(a). above describes a specific program to address those groups. We recognize that it is critical to get all who can and will participate in the work force to do so. The FIT program can provide assistance in doing just that to those who will make the effort.

Both the secondary and Postsecondary education agencies as well as business and industry representatives are represented on the Workforce Planning Council.

- f. How will the state ensure that the full array of one-stop services are available to individuals with disabilities and that the services are fully accessible?**

The State's Department of Rehabilitation Services is a partner in all of the State's Comprehensive Career Centers. Rehab staff assist the other partners ensure that each Career Center is fully accessible and that all programs and services are accessible. The State constantly checks through monitoring and through team reviews to ensure accessibility.

Speaking specifically of those with limited English-language proficiency, Career Centers have identified those staff who have fluency in languages other than English to serve as interpreters where needed. Some areas with growing Hispanic populations have hired Spanish-speaking staff. In other areas, Career Centers have identified interpreters to call upon as needed. Forms and marketing information have been translated into Spanish to assist with those with limited English proficiency.

Persons with disabilities will be provided basic core services under the W-P Act along with more intensive services where indicated. Referral to training under WIA or Rehabilitation Services will also be accomplished where appropriate.

Resource rooms are provided with touch screen computers and voice recognition software for the visual and hearing impaired. Each Career System Center is totally accessible.

In each Career Center with Wagner-Peyser staff there will be at least one person designated whose duties shall include functional responsibilities for services to persons with disabilities, as prescribed in Section 8(b) of the "Act.". The goal for Wagner-Peyser staff in Career Centers is for each disabled person to experience the same type of service and equipment anywhere they may go in the state.

Occupational information is available to customers with visual disabilities through the employment statistics system. The Job Seeker Module of ACLMIS includes a mode for the visually impaired. This mode provides narration when used in conjunction with JAWS screen reader software. Also, open-captioned videos on CD are available. On these CD's, over ninety occupations have been profiled and offer general information on wages, education, expected demand, and working conditions. Other customer needs will be addressed as needed.

- g. Describe the role LVER/DVOP staff have in the one-stop delivery system. How will the state ensure adherence to the legislative requirements for veterans' staff? How will services under this plan take into consideration the agreement reached between the Secretary and the state regarding veterans' employment programs? (sections 112(b)(7), 112(b)(17)(B), 38 U.S.C. Chapter 41, and 20 CFR section 1001.120).**

Disabled Veterans Outreach Program (DVOP) and Local Veterans Employment Representative (LVER) staff will provide services to eligible veterans, as mandated under Title 38 U.S.C., Chapter 41, and in accordance with the general and special provisions of the Jobs For Veterans (JFV) State Grant, and other regulations, policies, and directive guidance for JFV grants from the Assistant Secretary, Veterans Employment and Training (ASVET), including Veterans Program Letter (VPL) No. 09-03 and VPL 11-02, or the most current issuance applicable to DVOP-LVER Roles and Responsibilities.

DVOPs will provide eligible veterans with intensive services on a needs-basis, with maximum emphasis on economically and educationally disadvantaged veterans, and veterans in other categories of concern as determined by the ASVET, with the provision of services in the following priority:



- (1) Special disabled veterans
- (2) Other disabled veterans
- (3) Other eligible veterans in accordance with priorities established by the ASVET, taking into account applicable rates of unemployment and other emphasis mandated by Title 38 U.S.C., Chapter 42

LVERs will integrate services to veterans and eligible persons with other providers in the Alabama Career Center (One-Stop) network to promote veterans as a category of job-seekers who have highly marketable skills and experience, and advocate, on behalf of veterans, for employment and training opportunities with business, industry, and community-based organizations

On at least a quarterly basis, Employment Service managers located in Alabama Career Center base offices will assess as part of the Managers Quarterly Report on Services to Veterans, the level of utilization and effectiveness of services and programs offered to veterans by other providers in the network, and submit a report in the format required by the ASVET to address compliance with the law, adherence to requirements of the JFV grant and applicable directives. Reporting will include the results of self evaluation and a description of any corrective planning taken to resolve deficiencies or improve performance, effectiveness and accountability. JFV grant reporting by the State will affirm that services provided to veterans are consistent with the ASVET agreement.

- h. **Department of Labor regulations at 29 CFR 97.37 require all recipients of federal financial assistance from DOL to provide meaningful access to limited English proficient (LEP) persons. Federal financial assistance includes grants, training, equipment usage, donations of surplus property, and other assistance. Sub-recipients are also covered when Federal DOL funds are passed through from one recipient to a sub-recipient. Describe how the state will ensure access to services through the state's one-stop delivery system by persons with limited English proficiency and how the state will meet the requirements of ETA Training and Employment Guidance Letter (TEGL) 26-02, (May 29, 2003) which provides guidance on methods of complying with the federal rule.**

Employment Service displays required posters prominently in both English and Spanish. Local office managers also identify individuals available, both staff as well as community resources, if assistance is needed in providing services to limited English-speaking individuals. Written procedures have been distributed to staff.

- i. **Describe the state's strategies to enhance and integrate service delivery through the one-stop delivery system for migrant and seasonal farm workers and agricultural employers. How will the state ensure that migrant and seasonal farm workers have equal access to employment opportunities through the state's one-stop delivery system? Include the following:**

- **The number of Migrant and Seasonal Farm Workers (MSFWs) the state anticipates reaching annually through outreach to increase their ability to access core, intensive, and training services in the one-stop career center system.**

All Career Center services, such as job search assistance, testing, referral, training and assessment services are made available to migrant seasonal farm workers (MSFW) equitably through the Career Center System. The Employment Service Outreach assists in providing timely information to other Partner Agencies, and workforce investment boards, about special employment, training, economic, and educational needs of MSFWs and their families. It is anticipated that an estimated 200 MSFWs will be reached annually through this outreach program. Outreach Workers' activity will interface with the WIA 402/WIA § 167 grantee activity to assure all resources and assistance available to MSFWs and their families is accessible.

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Outreach services to MSFWs will comply with Federal Regulations at 20 CFR 653.107 to contact those workers traditionally not reached by the usual local office intake activities. Each local office will identify MSFWs service needs and contact individuals and applicant groups to offer and provide services to those not reached usually by local office intake activities. Local office staff conduct pre-seasonal surveys with leads provided by the State Office to determine anticipated MSFW population in local office areas on a month-to-month basis. Intensive efforts are made to contact all MSFWs whose usual residence is in the local office area and those that migrate into the area that do not contact local offices, branch offices or itinerant points for service. MSFWs will be informed of their rights to full ES services and invited to the One-Stop Office for completion of work applications in accordance with ES/MSFW regulations. Services including job referral, job development, testing, as well as referral to other service agencies will be provided. Appropriate media publicity is directed to MSFWs, informing them of their rights under various Federal and State laws, as well as directives of service agencies in the community. Handouts will be given to each person contacted advising them of this information.

Bilingual regular and outreach staff are assigned to offices where substantial proportions of MSFWs are primarily fluent and/or literate in Spanish, but not in English. Recruitment of staff from persons with MSFW backgrounds will be conducted specifically among home based Alabama migrants.

## 5. Priority of Service

- a. **What procedures and criteria are in place under 20 CFR 663.600 for the governor and appropriate local boards to direct one-stop operators to give priority of service to public assistance recipients and other low-income individuals for intensive and training services if funds allocated to a local area for adult employment and training activities are determined to be limited? (sections 112(b)(17)(A)(iv) and 134(d)(4)(E))**

The State Workforce Investment Board established the policy that public assistance recipients and other individuals with low incomes would receive the highest priority for WIA services.

- b. **What policies and strategies does the state have in place to ensure that, pursuant to the Jobs for Veterans Act (P.L. 107-288)(38 USC 4215), that priority of service is provided to veterans (and certain spouses) who otherwise meet the eligibility requirements for all employment and training programs funded by the U.S. Department of Labor, in accordance with the provisions of TEGL 5-03 (9/16/03).**

The State issued policy information in November of 2003 and in February of 2004 to attempt to clearly communicate the veteran's priority. Basically that policy is that a person meeting both the veteran's and the program priorities would obtain the highest preference. Non-veterans within the program's mandatory priority would receive a preference over eligible veterans outside the program's mandatory priority system. Eligible veterans out of the program's mandatory priority would receive priority over non-veterans outside the priority.

LVER-DVOP staff will assist other providers in the network to offer priority services to veterans and others eligible for priority under the law, with emphasis to veterans most in need of employment and supportive services, particularly veterans economically or educationally disadvantaged, homeless veterans, and veterans in vocational rehabilitation or occupational training.. Services to veterans and program functions of LVER and DVOP staff to veterans will be integrated into the delivery of services within the statewide network of Alabama Career Centers and other locations where mediated labor exchange services are provided, so as to offer such veterans and eligible persons the maximum advantages of a full array of employment services and training opportunities, with priority given to the needs of disabled veterans, and other veterans designated by the ASVET, through existing programs, coordination, and merger of programs and implementing new programs under the Workforce Investment Act (WIA), to ensure that veterans are provided universally in access and empowered with customer choice and customized

access to those services which satisfy their individual needs for career development. In the provision of these services veterans' priority will be followed in accordance with 38 U.S.C., Chapters 41 and 20 C.F.R. 1001.100 et seq. and the provisions of the DVOP and LVER grants. The LVER and DVOP program will facilitate veteran access to all WIA employment and training programs, as required by Section 112 (b)(17)(B) of the Workforce Investment Act of 1998.

Assignment of LVERs and DVOPs will be in consultation with the State Director, Veterans Employment and Training Service (VETS), taking into consideration the needs of veterans, and particularly veterans in categories established by law or the grant to receive greater emphasis and priority in services.

Ensuring that service providers and their staff work together, LVER and DVOP will participate in cross awareness training with WIA and other service providers in the network, and assist other service providers to assess at the point of entry, to identify and recruit veterans and certain spouses of veterans in need of their services and programs, and meet the priority provisions of the Jobs for Veterans Act (Public Law 107-288) for all training programs funded by the U.S. Department of Labor, including the WIA, Adult and Dislocated Worker formula-funded program, Wagner-Peyser Employment Services, the Trade Act programs, National Emergency Grant (NEG) Job Corps, Labor Market Information Formula Grants, Pilots, Research and Development, Career One-Stop Electronic Tools or other Internet-based self-service tools, and other programs mandated by 38 U.S.C § 4215, as described in directive guidance from the U.S. Department of Labor, such as Training and Employment Guidance Letter No. 5-03 , No. 22-04 regarding Serving Military Service Members and Military Spouses Under the WIA Dislocated Worker Formula , or other applicable guidance

**D. Rapid Response. (112(b)(17)(A)(ii) Describe how your state provides Rapid Response services with the funds reserved under section 133A(a)(2).**

- 1. Identify the entity responsible for providing Rapid Response services. Describe how Rapid Response activities involve local boards and chief elected officials. If Rapid Response activities are shared between the state and local areas, describe the functions of each and how funds are allocated to the local areas.**

The Office of Workforce Development is designated by the Governor as the entity responsible for providing Rapid Response services in Alabama. Local boards and chief elected officials are provided with periodic up-dates of activities of the Statewide Rapid Response Section. Continuous access to reports which can be

customized by industry, geographic area, time frames, etc. are maintained in an ACCESS database, part of which is accessible via the Internet.

Staff from a local area are involved from notification of a layoff through the various meetings with employers and employees and the provision of all services to the laid-off workers. It is a full partnership arrangement.

**2. Describe the process involved in carrying out Rapid Response activities.**

**a. What methods are involved in receiving notice of impending layoffs (include WARN Act notice as well as other sources)?**

The WARN Act, P. L. 100-379, stipulates that the State Dislocated Worker Unit (DWU) is one of three (3) parties or groups designated to receive notifications. Also, Alabama's State DWU is routinely alerted to impending area plant closures/layoffs by Local Workforce Investment Area (LWIA) staff, local one-stop centers, Employment Service and Unemployment Compensation Division personnel, regional economic development officials, local Career Centers, and other State agencies. Alabama's DWU also provides a 24-hour toll free number available to these agencies as well as employers and employees to alert them of any potential worker dislocations. Dislocated workers seeking additional information about services, training, etc. may also use this toll free number.

**b. What efforts does the Rapid Response team make to ensure that rapid response services are provided, whenever possible, prior to layoff date, onsite at the company, and on company time?**

Alabama's Rapid Response Team staff strives to make same day contact with company management and/or union officials arranging on-site meetings within 24 hours of receipt of official WARN notifications. Rapid Response Team staff immediately make contact with management and/or union officials whenever notified of a potential dislocation event, whether an official WARN notice has been received or not, to ensure awareness of WARN Act provisions and to provide information about assistance available through the Alabama DWU and Rapid Response Team. Every employer and/or union contact is encouraged to provide training/meeting space on-site as much in advance of layoff date(s) as possible. Also, company contribution of meeting space with employee participation on paid company time as a means to encourage and facilitate participation is strongly encouraged. Experience has been that management and/or union officials rarely fail to provide this type of support.

- c. **What services are included in Rapid Response activities? Does the Rapid Response team provide workshops of other activities in addition to general informational services to affected workers? How do you determine what services will be provided for a particular layoff (including layoffs that may be trade-affected)?**

Alabama's Rapid Response Team works with LWIAs and local Career Center System staff to coordinate their activities with both employers and labor organizations. They determine jointly the scope of dislocated worker assistance need and how, depending on services available in the LWIA, to serve dislocated workers. Funding reserved by the State from the Dislocated Worker funds may be made available where necessary. Funding has been provided to DIR to conduct workshops for Rapid Response dislocated workers. Depending on the extent and scope of a dislocation event, the OWD may request discretionary funding from the Department of Labor.

Rapid Response Team staff conducts a detailed assessment of the needs specific to each dislocation event and coordinate with "Dislocated Worker Service Agency Network Agencies" to market available buildings, establish labor/management committees, provide job search workshops, money management seminars, GED preparation, etc. depending on individual circumstances.

3. **How does the State ensure a seamless transition between Rapid Response services and one-stop activities for affected workers?**

Rapid Response Team staff communicates detailed information concerning reported or potential dislocation events to Local Career Center staff on a daily basis via e-mail and/or telephone communications. Local WIA and associated Career Center staff are included in e-mail notifications of dislocation event notifications received by the DWU and/or activities of the Rapid Response Team relative to their geographical area. Career Center staff are included as primary participants in all Rapid Response general information sessions or Group Employee Meetings.

4. **Describe how Rapid Response functions as a business service. Include whether Rapid Response partners with economic development agencies to connect employees from companies undergoing layoffs to similar companies that are growing and need skilled workers. How does Rapid Response promote the full range of services available to help companies in all stages of the economic cycle, not just those available during layoffs? How does the state promote Rapid Response as a positive, proactive, business-friendly service, not only a negative, reactive service?**

Rapid Response Team staff brief employers on the availability of On-The-Job-Training, Incumbent Worker Training, and various services available at local Career Centers, including labor market information, wage data, etc. Rapid Response coordinates with the Alabama Development Office (state economic development agency) and local Industrial Development Boards, facilitating their intervention where possibilities to avert layoffs or plant closings exists. The OWD also provides and regularly promotes information available on their Internet web sites promoting benefits of Rapid Response assistance and providing information about dislocation event activity in the State.

**5. What other partnerships does Rapid Response engage in to expand the range and quality of services available to companies and affected workers and to develop an effective early layoff warning network?**

Rapid Response Team staff have established an informal “Dislocated Worker Service Agency Network” including a broad range of agencies providing services that could be of benefit to employers and dislocated workers. Formal contractual agreements are in place with Employment Service and Unemployment Compensation Divisions of the Alabama DIR as well as the AFL-CIO’s Labor Institute for Training Project (L.I.F.T.). Rapid Response Team staff communicate with and maintain close working relationships with State and local level officials of Postsecondary Education (including Adult Education/GED Preparation Programs), the Department of Human Resources, Alabama Cooperative Extension Service, Community Action Agencies, Public Health, Mental Health and Retardation, Department of Rehabilitation Services, Department of Senior Services, Legal Services Corporation, Consumer Credit Counseling Service, Department of Veterans Affairs, Alabama Medicaid, Children’s Health Insurance Programs (CHIP or All-Kids in Alabama), the Alabama Child Caring Program for Children, the Department of Labor’s Employee Benefits Security Administration and other Federal, State and local entities as appropriate to individual circumstances of each dislocation event.

**6. What systems does the Rapid Response team use to track its activities? Does the state have a comprehensive, integrated management information system that includes Rapid Response, Trade Act programs, National Emergency Grants, and one-stop activities?**

Rapid Response Team staff maintain a detailed ACCESS database of information related to every dislocation event where services are provided. Selected information is drawn from this database and is available via the Internet for public consumption at <http://216.226.178.187/wdd/alabamawarnlist.asp>. Customized reports can be generated for LWIAs, elected officials, economic development professionals, etc. by industry, geographical area, time frames, etc. Rapid Response Team staff routinely receive Trade Act petition filing and certification

notices from the U.S. DOL and State Department of Industrial Relations. Whenever Trade Act petitions have been filed by companies who have not come to the attention of the State DWU and Rapid Response Team otherwise, they are investigated to determine what level of Rapid Response assistance may be necessary and appropriate.

**7. Are Rapid Response funds used for other activities not described above, e.g., the provision of additional assistance to local areas that experience increased workers or unemployed individuals due to dislocation events?**

Additional funding has been provided to local areas based on need justification. Funding assistance has been provided to Alabama's DIR to conduct job workshops for Rapid Response dislocated workers.

**E. Youth. ETA's strategic vision identifies youth most in need, such as out of school youth and those at risk, youth in foster care, youth aging out of foster care, youth offenders, children of incarcerated parents, homeless youth, and migrant and seasonal farm worker youth as those most in need of service. State programs and services should take a comprehensive approach to serving these youth, including basic skills remediation, helping youth stay in or return to school, employment, internships, help with attaining a high school diploma or GED, Postsecondary vocational training, apprenticeship and enrollment in community and four-year colleges (section 112(b)(18)).**

A lack of program focus and emphasis on outcomes has left Alabama's out-of school at-risk youth behind our state economy. Alabama's strategy for out-of-school youth is to develop well-designed and coordinated programs that offer youth who become disconnected from mainstream institutions and systems additional opportunities to successfully transition to adult roles and responsibilities.

In response to the shared vision for Youth, Postsecondary Education, Secondary Education, DHR, TANF, DRS, Rehab, the Department of Youth Services, OWD, and ADECA have developed a new youth vision that establish strategies that are both agency specific and explicit in the need for a collaborative Federal/State partnership to more efficiently and effectively serve our State's neediest youth.

**1. Describe your state's strategy for providing comprehensive, integrated services to eligible youth, including those most in need as described above. Include any state requirements and activities to assist youth who have special needs or barriers to employment, including those who are pregnant, parenting, or have disabilities. Include how the state will coordinate across state agencies responsible for workforce investment, foster care, education, human services, juvenile justice, and other relevant resources as part of the strategy. (section 112(b)(18))**



Alabama's strategy for providing comprehensive integrated, interagency services to eligible youth involves a detailed assessment of all local, state, and federal resource systems available, including coordination with the Alabama Department of Human Resources' Foster Care system, Alabama's youth Services Department, secondary/postsecondary education programs, welfare-to work programs, migrant and seasonal farm workers, students with disabilities, and the State's two Job Corps Centers (Montgomery and Gadsden). The centerpiece of this performance-coordination of services will be the Alabama Career Center System.

Alabama's three workforce investment areas have compiled an impressive list of available services for eligible youth. These coordinated services will enable all youth, particularly out-of-school youth, dropouts, and youth (pregnant, parenting, or have disabilities) with special needs or barriers to employment to acquire the skills and work-based experiences necessary to successfully transition into adulthood, careers and further education and training.

The Alabama Youth Development System will be characterized as youth friendly and cost efficient. There is a sense of urgency about correcting problems, capitalizing on new youth initiative opportunities, and developing caring leaders in our State. The system created using Full Collaboration Model (*See Attachment 11*) will influence the labor force emerging from the State's secondary and postsecondary schools, and the out-of-school youth and dropouts, welfare recipients, disabled, pregnant teens, and unemployed youth with the services and activities needed to enter the Alabama workforce at a living wage.

**2. Describe how coordination with Job Corps and other youth programs will occur (112(b)(18)(C))**

Alabama's two Job Corps Centers (Montgomery and Gadsden) are a viable part of the State's Youth Development System. In order to continue this collaborative partnership, the state and local agency workforce development staff participate in various local Job Corps councils, i.e. Job Corps Center Community Relation's Councils, Center Industry Councils, etc. and the Job Corps Consortium that meets quarterly to discuss policy, strategies and methods of serving the State's neediest youth. In addition, the State's Workforce Investment Council and the Governor's Workforce Development Council have formed a Youth Council/Youth Workforce Task Force with members of Job Corps and other youth program staff to communicate the youth shared vision and commitment to collaborate strategic planning activities to develop cross-agency systems to better serve the neediest youth through improved leveraging of resources, policy alignment and other activities.

The Alabama Employment Service contracts to provide Job Corps Outreach and Admissions (OA) services. Job Corps admissions counselors are located in career

centers and are designated to work cooperatively with schools, social service agencies, career centers, youth councils, youth programs, other employment and training programs, National Job Corps alumni members, State vocational rehabilitation agencies, Job Corps Centers, and other appropriate organizations to promote referral and enrollment of at-risk youth, ages 16 to 24, who are eligible to participate in the Job Corps program. Recruitment is an integrated effort involving other career center partners who are made aware of the program and encouraged to refer youth interested in training for a career.

**3. How does the state plan to utilize the funds reserved for statewide activities to support the state's vision for serving youth? Examples of activities that would be appropriate investments of these funds include:**

No special allocation of WIA 15 Percent Statewide Activity funds is made to local areas for youth in the One Stops. The State does pay its share of costs through a cost allocation, which ensures costs for youth services at the One-Stops are paid by the benefiting fund source such as WIA 15 percent Adult, Dislocated Workers, etc. Two local areas do have nominal costs associated with State-level youth program participants, which are covered by these two local areas out of formula (program) funds. The State uses some of the 15 percent funds for youth program technical assistance and training for career center staff capacity building. The State also funds the WIA management information system to include State staff who manage the system including youth data. There's also an interagency computer system (funded by the State), which allows various partner agencies to share youth data on individuals seeking human resource services.

**a. Utilizing the funds to promote cross agency collaboration;**

Reference Section IX. E. 3. narrative.

**b. Demonstration of cross-cutting models of service delivery;**

Reference Section IX. E. 3. narrative.

**c. Development of new models of alternative education leading to employment; or**

Reference Section IX. E. 3. narrative.

**d. Development of demand-driven models with business and industry working collaboratively with the workforce investment system and education partners to develop strategies for bringing these youth successfully into the workforce pipeline with the right skills.**

Reference Section IX. E. 3. narrative.

- e. Describe how your state will, in general, meet the Act's provisions regarding youth program design. (sections 112(b)(18) and 129(c))**

Reference Section IX. E. 3. narrative.

- F. Business Services. (sections 112(b)(2) Provide a description of the state's strategies to improve the services to employers, including a description of the state's strategies to improve the services to employers, including a description of how the state intends to:**

- 1. Determine the employer needs in the local areas and on a statewide basis.**

Grass-Roots information obtained directly from businesses is valuable as a means to check on Macro Information and as an early indicator of possible changes or shifts in employer "demand." Through the Employer Relations Program and Career Center Business Services Marketing Program these services provide this one-on-one insight to the state's business community. Another measure of the pulse of business demand is through employer advisory groups such as the Alabama State Employers Committee (ASEC). This diverse group of business owners and leaders from throughout the state voluntarily serves in an advisory capacity to make recommendations to improve workforce services provided by Employment Service.

- 2. Integrate business services, including Wagner-Peyser Act services, to employers through the One-Stop system.**

A lack of awareness of the existence of the myriad of business services available through the One-Stop Career Center System often precludes usage by the Business Community. The Career Center Business Services Marketing program helps raise employer awareness of the Career Center System and its many services available to assist meet employer needs.

- 3. Streamline administration of federal tax credit programs within the one-stop system to maximize employer participation? (20 CFR part 652.3(b))**

To maximize employer participation of the Federal tax credit programs, several strategies have been implemented within the Career Center system. Training local Career Center staff and partner agencies to effectively market the tax credits to employers is one strategy. An effective tax credit marketing campaign offers business solutions for a diverse workforce while stimulating economic growth and productivity. Educating employers through presentations to chambers of commerce, the Alabama State Employers Committee, employer seminars, forums

and professional organizations such as Society of Human Resources Managers (SHRM) is also an effective strategy. Web sites and supported links also reach many employers. The verification process of the tax credit program has been streamlined through centralization. This process is consolidated into one location where trained and experienced analysts process employer requests through a network of centralized electronic and on-line contacts with participating agencies. This centralization assures coherent, uniform, consistent and accurate decisions for employers.

**G. Innovative Service Delivery Strategies (section 112(b)(17)(A))**

- 1. Describe innovative service delivery strategies the state has or is planning to undertake to maximize resources, increase service levels, improve service quality, achieve better integration or meet other key state goals. Include in the description the initiative's general design, anticipated outcomes, partners involved and funds leveraged (e.g., title I formula, statewide reserve, employer contributions, education funds, non-WIA state funds).**

The Career Center Strategic Planning Committee is attempting to remove waste and duplication from the Career Center System, allowing more funding to be focused on customers. All Workforce Development Career Center partners are involved.

- 2. If your state is participating in the ETA Personal Re-employment Account (PRA) demonstration, describe your vision for integrating PRAs as a service delivery alternative as part of the state's overall strategy for workforce investment.**

Alabama is not participating in the PRA demonstration.

- H. Strategies for Faith-Based and Community Organizations (section 112(b)(17)(i)). Enhancing outreach opportunities to those most in need is a fundamental element of the demand-driven systems goal to increase the pipeline of needed workers while meeting the training and employment needs of those most at risk. Faith-Based and community organizations provide unique opportunities for the workforce investment system to access this pool of workers and meet the needs of business and industry. Describe those activities to be undertaken to: (1) increase the opportunities for participation of Faith-Based and community organizations as committed and active partners in the one-stop delivery system; and (2) expand the access of Faith-Based and community-based organizations clients and customers to the services offered by the one-stops in the state. Outline those action steps designed to strengthen state collaboration efforts with local workforce investment areas in conducting**

**outreach campaigns to educate Faith-Based and community organizations about the attributes and objectives of the demand-driven workforce investment system. Indicate how these resources can be strategically and effectively leveraged in the state's workforce investment areas to help meet the objectives of the Workforce Investment Act.**

Alabama enjoys a rich diversity of faith-based, community, and other private charitable organizations that render effective aid to people in need. The State of Alabama has one of the largest and most effective populations of Faith-Based and community-based organizations in the United States. On June 22, 2004, Governor Bob Riley through Executive Order Number 21 established the Governor's Office of Faith-Based and Community Initiatives (GFBCI) to make the necessary changes to actively engage in collaborative efforts with Faith-Based and community-based organizations for the provision of social services to people in need.

The Alabama Office of Workforce Development (OWD) will cooperate fully with GFBCI and the Advisory Board on Faith-Based and Community Initiatives to increase and expand access to opportunities for participation of faith-based and community organizations as committed and active partners in the Alabama Career Center System (ACCS). OWD will undertake the following activities to accomplish this effort:

- Assist in identifying unmet service needs and conditions of unemployed or underemployed workers that the faith-based Initiative (Initiative) will organize Faith-Based/Community-Based Organizations (FBOs/CBOs) and other partners to address.
  - Assist in collaboration between FBOs/CBOs and workforce boards to address a well-defined unmet community need by leveraging the resources of both faith-based and community organizations and the Alabama Career Center System.
  - Work with the GFBCI to establish plans for outreach to FBOs/CBOs. Note: The emphasis will be on outreach to those groups that can help the FBOs/CBOs address the identified community need(s) in relation to Workforce Development.
  - Assist in organizing FBOs/CBOs to address the community's needs in relation to workforce development including what resources and services it will solicit from federal, state and other sources.
- Revised – Deleted on 08/02/05.
- Assist in activities to build the administrative capacity of the FBOs/CBOs in relation to workforce development.

- Work with the GFBCI and FBOs/CBOs to coordinate activities/services with the ACCS and with the state and local workforce investment boards to address the identified community issues.
- Work with the GFBCI to improve the posture of FBOs/CBOs in increasing their administrative capacity to remain active in local workforce development efforts.
- Assist in increasing the number of FBOs/CBOs serving as committed and active partners in the ACCS delivery system.
- Assist in expanding the access of faith-based and community-based organizations' clients and customers to the training, job and career services offered by the local career center.

Action steps will be designed to strengthen the State's collaboration efforts with local workforce investment areas in conducting outreach campaigns to educate faith-based and community organizations about the attributes and objectives of partnering with Alabama's OWD. OWD will fully cooperate with GFBCI's following initiatives:

- This office envisions an environment where community-based and faith-based organizations can compete equally with others groups to provide government or privately funded services.
- Will serve to strengthen and expand the role of faith-based and community organizations in addressing Alabama's social problems.

• Revised – Deleted 08/02/05.

- Identify the work to eliminate improper barriers to the full participation of faith-based and community-serving programs in the provision of social services.

The GFBCI and Alabama's Career Center System resources can be strategically and effectively leveraged in the State's workforce investment areas to help meet the objectives of the Workforce Investment Act by utilizing the following strategies:

- Identify faith-based/community initiative projects relating to workforce development in Alabama state government.
- Assess state barriers within workforce development to faith-based/community initiative organizations in assessing funding.

• Revised – Deleted 08/02/05.

- Assess funding or other resources within state government as it applies to workforce development.
- Assess funding or other resources within federal government as it applies to workforce development.
- Assess funding or other resources within corporations and foundations as it applies to workforce development.
- Assess funding or other resources within lending institutions as it applies to workforce development.
- Assess available resources within Institutions of higher learning as it applies to workforce development.
- Evaluation of effectiveness of training coordination and dissemination of information as it applies to workforce development.

## **X. State Administration**

- A. What technology infrastructure and/or management information systems does the state have in place to support the state and local workforce investment activities such as a one-stop operating system designed to facilitate case management and service delivery across programs, a state job matching system, web-based self service tools for customers, fiscal management systems, etc.? (sections 111(d)(2), 112(b)(1), and 112(b)(8)(B))**

The WIA partners use a system for WIA that is called the AlaWorks system, which provides management information on participants and budgets/expenditures. Employment Service is beginning the use of America's JobLink to provide job seeker information. These systems can communicate information among themselves through the Interagency Electronic Linkage System, which the State began in 2001. This system was developed with the use of One-Stop Grant funds. All career centers partners are users of the system. It is currently being enhanced to add agencies and programs.

Alabama JobLink (AJL) is a web-enabled One-Stop workforce development system providing self-service for job seekers and employers as well as job matching activities, One-Stop customer service delivery management, labor exchange job matching and labor market information services. There are three main components of AJL: **JobLink**, **ServiceLink** and **FiscalLink**.

**JobLink**: - JobLink is a self-service job matching and workplace information service for employers and jobseekers. Jobseekers can establish an Internet account to manage their job search activities or register with labor exchange activities.

Employers can establish an account to manage job openings and view job seeker resumes.

**ServiceLink:** - ServiceLink is a web-based Career Center client management application that allows case managers to track their caseload and report information required under Labor Exchange, Re-employment Services, WIA, Welfare to Work, TAA and other federal programs. ServiceLink provides a standardized process for following participants through the workforce development system network. It eases the load for case managers by providing a tool that can manage and monitor caseloads, assess employment barriers, establish training and employment plans, search for service providers and WIA eligible training providers and programs, and track job placements. ServiceLink collects all information required to generate reports for these federal programs.

Some of the possible reports are Recently Soft Exited and Soft Exit Warning by Office; Job Service Activity Reports by Statewide, WIB and Office; and WIA Youth Elements, NEG Project Quarterly Reports and WIA Quarterly Report by Statewide, Local Area, WIB and Office, if the data necessary to create the reports has been input into ServiceLink.

**FiscalLink:** - FiscalLink allows case managers and program administrators the ability to process participant and vendor payments for all WIA programs including NEG (National Emergency Grants) grants, and TAA (Trade Adjustment Act) activities. FiscalLink is part of AJL, but we will not be using it at this time. FiscalLink may be used in the future if OWD/ADECA wants to use it.

**B. Describe the state's plan for use of the funds reserved for statewide activities under WIA section 128 (a)(1).**

Funds reserved under this section are for statewide administration of the WIA program, for oversight and monitoring, for maintaining a statewide management information system, capacity building for state, local area, and service provider staff, statewide funding of Individual Training Accounts for Dislocated Workers who have received services from the State's Rapid Response Team, incentive funds for local areas based upon their meeting required performance standards, assessment and case management, eligibility determination (for state level programs), and funds are budgeted and used for incumbent worker training programs.

**C. Describe how any waivers or workflex authority (both existing and planned) will assist the state in developing its workforce investment system. (sections 189(i)(1), 189(i)(4)(A), and 192)**

No workflex authority exists, has been requested or is contemplated at this time.



The State currently has waivers approved to increase the transfer of local adult-dislocated worker fund transfers to 100 percent; to extend the period of WIA service providers initial eligibility; allowing local areas to use up to 10 percent of local annual fund allocations for Statewide Workforce Investment Activities (including Incumbent Worker Training programs); and the restructuring of State Workforce Investment Board member composition requirements consistent with the specifications of H.R. 1261 (Attachment 8). We have also requested a waiver of 20 CFR661.320(d)(2) to allow the transfer of up to fifty percent of Section 133 (a)(2) Rapid Response funds to WIA Statewide activities, i.e., provide additional incumbent workers training. We have asked for an extension of all approved waivers through June 30, 2007. These provide the State more flexibility in responding to local conditions, which vary from state to state and from region to region within each state. This flexibility is essential in providing programs that are sufficiently adaptable to be successful around the country.

**D. Performance Management and Accountability. Improved performance and accountability for customer-focused results are central features of WIA. To improve, states need not only systems in place to collect data and tract performance, but also systems to analyze the information and modify strategies to improve performance. TEGL 15-03, Common Measures Policy, December 10, 2003. In this section, describe how the state measures the success of its strategies in achieving its goals, and how the state uses this data to continuously improve the system.**

- 1. Describe the state's performance accountability system, including any state-system measures and the state's performance goals established with local areas. Identify the performance indicators and goals the state has established to track its progress toward meeting its strategic goals and implementing its vision for the workforce investment system. For each of the core indicators, explain how the state worked with local boards to determine the level of the performance goals. Include a discussion of how the levels compare with the state's previous outcomes as well as with the state-adjusted levels of performance established for other states (if available), taking into account differences in economic conditions, the characteristics of participants when they entered the program and the services to be provided. Include a description of how the levels will help the state achieve continuous improvement over the two years of the plan. (sections 112(b)(3) and 136(b)(3))**

Wagner-Peyser performance will be measured against the new Common Measures policy instituted effective with Program Year 2005. Performance data generated by these measures, i.e., Entered Employment Rate (EER), Employment Retention Rate (ERR), and Earnings Change in six months, in PY 2005 will be used to establish base line performance for future negotiation of performance levels. Performance in these measures will be studied and compared to the state's

previous outcomes, outcomes from other programs, and other states in order to modify strategies to achieve continuous improvement in performance and thus in the system.

Common Measures provide only part of the information necessary to effectively oversee the workforce system. Employment service will continue to collect data on program activities, participants, and outcomes that are necessary for program management and to convey full and accurate accountability on performance.

#### Alabama's Performance Accountability System

##### **a. Performance Indicators and Goals**

(Reference: TEGl Nos. 7-99, 8-99)

##### **Adult Measures**

##### **Definitions**

##### **1. Entered Employment Rate**

Of those who are not employed at the date of participation: Number of adults who are employed in the 1st quarter after exit, divided by the number of adults who exit during the quarter.

##### **2. Employment Retention Rate**

Of those who are employed in the 1st quarter after exit: Number of adults who are employed in both the 2nd and 3rd quarters after exit, divided by the number of adults who exit during the quarter.

##### **3. Earnings Change in Six Months -**

Of those who are employed in the 1st quarter after exit: {Earnings in the 2nd and 3rd quarters after exit} - {Earnings in the 2nd and 3rd quarters prior to the participation quarter}, divided by number of adults who exit during the quarter.

##### **4. Employment and Credential Rate**

-Of those who received training services: Number of adults who were employed in the 1st quarter after exit and received a credential by the end of the 3rd quarter after exit, divided by the number of adults who exit during the quarter.

##### **Dislocated Worker Measures**

##### **Definitions**

- |  |  |
|--|--|
| <b>1. Entered Employment Rate -</b>        | Of those who are not employed at the date of participation: Number of adults who are employed in the 1st quarter after exit, divided by the number of adults who exit during the quarter.  |
| <b>2. Employment Retention Rate -</b>      | Of those who are employed in the 1st quarter after exit: Number of adults who are employed in both the 2nd and 3rd quarters after exit, divided by the number of adults who exit during the quarter.   |
| <b>3. Earnings Change in Six Months -</b>  | Of those who are employed in the 1st quarter after exit: {Earnings in the 2nd and 3rd quarters after exit} – {Earnings in the 2nd and 3rd quarters prior to the participation quarter}, divided by number of adults who exit during the quarter.                   |
| <b>4. Employment and Credential Rate -</b> | Of those who received training services: Number of dislocated workers who were employed in the 1st quarter after exit and received a credential by the end of the 3rd quarter after exit, divided by the number of dislocated workers who exit during the quarter. |

#### **Older Youth Measures**

#### **Definitions**

- |                                       |   |
|---------------------------------------|---|
| <b>1. Entered Employment Rate -</b>   | Of those who are not employed at registration and who are not enrolled in postsecondary education or advanced training in the 1st quarter after exit: Number of older youth who have entered employment by the end of the 1st quarter after exit, divided by the number of older youth who exit during the quarter. |
| <b>2. Employment Retention Rate -</b> | Of those who are employed in the 1st quarter after exit and who are not enrolled in postsecondary education or advanced training in the 3rd quarter after exit: Number of older youth who   |

are employed in the 3rd quarter after exit, divided by the number of older youth who exit during the quarter.

**3. Earnings Change in Six Months-** Of those who are employed in the 1st quarter after exit and who are not enrolled in postsecondary education or advanced training in the 3rd quarter after exit:  $\{\text{Total Post-Program Earnings}\} - \{\text{Total Pre-Program Earnings}\}$ , divided by number of older youth who exit during the quarter.

**4. Credential Rate -** Number of older youth who were in employment, postsecondary education, or advanced training in the 1st quarter after exit and received a credential by the end of the 3rd quarter after exit, divided by the number of older youth who exit during the quarter.

#### **Younger Youth**

#### **Definition**

**1. Skill Attainment Rate -** Of all in-school youth and any out-of-school youth assessed to be in need of basic skills, work-readiness, and/or occupational skills:  $\text{Total number of attained basic skills} + \text{number of attained work readiness} + \text{number of attained occupational skills}$ , divided by  $\text{total number of basic skills goals} + \text{number of work readiness skills goals} + \text{number of occupational skills goals}$ .

**2. Diploma or Equivalency Attainment Rate -** Of those who register without a diploma or equivalent: Number of younger youth who attained a secondary school diploma or equivalent by the end of the 1st quarter after exit, divided by the number of younger youth who exit during the quarter (except those still in secondary school at exit).

**3. Retention Rate -** Number of younger youth found in one of the following categories in the 3rd quarter after exit: postsecondary

education, advanced training, employment, military service, qualified apprenticeships; divided by the number of younger youth who exit during the quarter (except those still in secondary school).

## **Customer Satisfaction**

## **Definition**

### **1. Participants**

The weighted average of participant ratings on each of the 3 questions regarding overall satisfaction reported on a 0-100 scale.

### **2. Employers**

The weighted average of employer ratings on each of the 3 questions regarding overall satisfaction reported on a 0-100 scale.

## **b. Performance Management and Accountability System**

The Performance Management system described below has been presented to and approved by representatives of the State Board and local boards. Board member comment was solicited and all proposed input duly considered.

### **1. Customer Satisfaction and State Measures**

Section 133(b)(2)(A), Section 133(b)(2)(B), and Section 128(b)(2) PY 2005 performance goals will be set at a level to be negotiated with the U.S. Department of Labor Regional Office. The baseline for these negotiations will be the PY 2004 performance goals corresponding to each performance measure.

The performance goal measure negotiation process will provide an opportunity to demonstrate how local demographic and/or economic conditions potentially affect WIA program performance, and should be taken into consideration in measurement adjustments.

The departure point for initial (PY 2005) WIA performance goals will be the performance benchmarks earlier negotiated by USDOL and the State for PY 2004 WIA programs. Subsequent year performance goals will duly reflect the importance both the State and USDOL place upon Continuous Improvement in WIA programs.

By setting First Year (PY 2005) performance goals at a reasonably attainable level, there will be minimal risk of overwhelming staff with mandatory goals that are almost beyond their reach.

## **2. Employers and Job Seekers Customer Satisfaction Measures**

ES customer satisfaction is measured through both applicant/employer formal surveys and informal feedback. State and local Alabama Employer Services Committees (AESC) have proven invaluable in their feedback and recommendations to identify, prioritize, and enhance services both locally and statewide.

This information is provided to local offices as part of the effort to continuously strive to improve services. Local offices also receive feedback from surveys of applicants that assists in determining the quality of services provided and the level of customer satisfaction achieved.

Employment Service utilizes the findings from these customer surveys to identify the perceptions, priorities, and value associated with ES services. These findings are shared, discussed, and analyzed by management and staff to determine customer satisfaction and identify changes needed to produce desired outcomes.

Findings have also provided direction and prioritization in the utilization of the limited resources available.

The State will continue to employ telephone surveys in order to administer USDOL-prescribed employers and participants) customer satisfaction surveys.

Identifying individuals to be included in these surveys, OWD staff will sample from the full population of individuals receiving staff-assisted WIA core, intensive, and/or training services. It is anticipated that “satisfaction” instruments will be applied to all employers using WIA services rather than a sample. This is to ensure inclusion of required number of employers (500). Survey questions will consist of the information prescribed by USDOL and additional State-designed questions regarding specific participant and employer attitudes regarding various aspects of WIA program services. The input of local boards may be solicited regarding the future additions to or deletions from the customer satisfaction survey instruments. Should local boards require more detailed information than that provided by the USDOL satisfaction questions and the additional State-designed questions, they may submit these recommendations to the OWD. In this manner, local boards may be able to obtain information they feel to be more useful in shaping their respective WIA local service delivery strategies.

OWD staff will regularly compile and consolidate WIA customer satisfaction information. Reports are prepared expressing satisfaction at the state-level and local area. Similar efforts to evaluate individual/employer customer satisfaction may be conducted at the local area career center-level. State-level reports will be disseminated to all WIA outlets. Satisfaction reports traceable

to the local area-level, and, as available, reports covering each career center within a local area, are distributed throughout each local area.

This satisfaction feedback is particularly valuable in both local area overall program planning and in specific activity management. Non-positive satisfaction survey feedback will trigger efforts by the State and/or local area to identify the root problems or situations underlying this negative feedback, and may suggest short-term or long-term strategic measures aimed at remedying real or perceived flaws in the WIA service delivery system.

The ongoing assessment of customer satisfaction surveys with WIA services will prove invaluable in helping the individual components of the WIA delivery system collectively and consistently achieve the “continuous improvement” central hallmark of WIA.

### **3. State and Local Boards Performance Evaluation Strategies**

Systems evaluations are conducted on individual workforce development systems as appropriate. Career Centers evaluations enhance their effectiveness by sharing best practices among the centers.

The State defines meeting a performance goal as a LWIA performance at the level at which a particular set. “Exceeding a performance goal” is LWIA performance above the level at which a particular goal is set and “failing to meet a performance goal” is LWIA performance below the level at which a particular goal is set.

LWIAs which meet or exceed both the (overall) customer (participant and employer) customer satisfaction goals, and at least three of the four Section 136(b)(2)(A)(I), (B) ADULT goals, will be eligible to receive an ADULT program incentive award. Local areas which meet or exceed both the (overall) customer participant and employer customer satisfaction goals, and at least three of the four Section 136(b)(2)(A)(I), (B) DISLOCATED WORKER performance goals, will be eligible to receive a DISLOCATED WORKER program incentive award. Local areas which meet or exceed both the overall customer (participant and employer) customer satisfaction goals and at least five of the seven Section 136(b)(2)(A)(I), (B) YOUTH (19-21) and Section 136(b)(2)(A)(ii), (B) YOUTH (14-18) performance goals, will be eligible to receive a YOUTH program incentive award.

Note that the participant/employer customer satisfaction measures act as a local area incentive award ‘gate.’ That is, a local area which does not meet or exceed its two customer satisfaction measures for a given Program Year reporting period will not be eligible to receive a performance incentive award for that year’s performance.

The data reporting “lags” respectively associated with the four Adult, four Dislocated Worker, four Older Youth, and three Younger Youth performance measures are structured to ensure that four full quarters of data corresponding

to each of these measures are available for inclusion in the final year-end performance reports.

- 2. Describe any targeted applicant groups under WIA title I, the Wagner-Peyser Act or Title 38 USC, Chapters 41 and 42 (Veterans Employment and Training Programs) that the state tracks (sections 111(d)(2), 112(b)(3) and 136(b)(2)(C).**

The State will use the ETA-9002 Quarterly Report to monitor and evaluate Performance Outcomes and Services to Veterans and Eligible Persons and other categories of veterans described under 38 U.S.C. Chapter 41 and 42, to include service-connected Disabled Veterans and Special Disabled Veterans, Campaign Badge Veterans, Transitioning Service Members, Newly Separated veterans, Female veterans, and veterans in other categories designated by the ASVET for tracking and evaluation. Core indicators of performance will be measured against expected measures negotiated with the ASVET.

The State will use the ETA-9002 Quarterly Report to monitor and evaluate Performance Outcomes and Services to UI Claimants.

- 3. Identify any performance outcomes or measures in addition to those prescribed by WIA and what process is the state using to track and report them?**

The State has not adopted any additional goals.

- 4. Describe the state's common data system and reporting processes in place to track progress. Describe what data will be collected from the various one-stop partners (beyond that required by DOL), use of quarterly wage records (including how your state accesses wage records), and how the statewide system will have access to the information needed to continuously improve. (section 112(b)(8)(B))**

OWD and partner agencies have developed a common data system that allows the partners to exchange information on individual partner customers for the purpose of providing as much help to customers as possible by having access to existing information on services provided, assessment results, referrals made, and length of time in services in a real-time manner.

OWD has taken appropriate measures to secure wage data that is required for performance measures. We have a contractual agreement with Department of Industrial Relations' Unemployment Compensation Division to provide the wage data. Wage data is also obtained through the Wage Record Interchange System.



Local Area staff enters participant data in the State MIS. The State provides both oral and written instructions to the Local Area staff regarding data entry and collecting participant data. Instructions for collecting participant data are based on the WIA, Federal Regulations, and TEGLs.

The State compiles quarterly performance reports for State and Local Areas. The Local Areas are provided a copy of the report along with an analysis of their performance. WIA performance for PY2005 and 2006 will be assessed in accordance with the Common Measures Policy as stated in TEGL 28-04.

**5. Describe any actions the governor and state board will take to ensure collaboration with key partners and continuous improvement of the statewide workforce investment system. (sections 111(d)(2) and 112(b)(1))**

Actions will be taken pursuant to the systems previously outlined as detailed in Executive Order 17, in the Career Center Operations Template, and in the Roles and Responsibilities document (Attachments 1, 9, and 5).

**6. How do the state and local boards evaluate performance? What corrective actions (including sanctions and technical assistance) will the state take if performance falls short of expectations? How will the state and local boards use the review process to reinforce the strategic direction of the system? (sections 111(d)(2), 112(b)(1), and 112(b)(3))**

Performance is compared with performance goals. When performance is less than the goal, explanations are requested and a corrective action plan prepared. State and local boards take the board, strategic view of the direction of the system.

### **SANCTION POLICY**

WIA Section 136(g) addresses actions to be taken by the State when a LWIA fails to meet performance goals.

A local area which fails to meet three or more of the four Section 133(b)(2)(A) ADULT performance goals, three or more of the four Section 133(b)(2)(B) DISLOCATED WORKER performance goals, five or more of the seven Section 128(b)(2) 18-21 year old Youth performance goals /14-18 year old Youth performance goals, or one of the two Customer Satisfaction goals, has failed to meet its overall goals for the affected program, and will incur sanctions. Note that any LWIA failing to meet its Adult, Dislocated Worker, or Youth annual performance goals is ineligible to receive an incentive award for that year's associated program performance.

#### **A. First Year**

Following the first year of failure to meet performance goals, the State shall provide the LWIA(s) with technical assistance (Section 136(g)(1)(A)). Every effort will be made to observe the following sequence of events:

1. Initially, OWD State staff will meet with LWIA representatives to discuss the specific nature of any technical assistance which may be required, to include:
  - a. Onsite technical assistance/program monitoring by OWD Program Integrity Section staff. Intensified monitoring activity should always be triggered by LWIA performance below prescribed levels.
  - b. LWIA staff training sessions, conducted by OWD State staff, USDOL, NGA, or through outside consultants.
  - c. The hiring of a full-time outside consultant to work with the LWIA.
  - d. Facilitating the LWIA's acquisition of information which may help achieve improved performance, e.g., LMI data.
  - e. Temporarily out stationing OWD State staff at the LWIA.

Final decisions regarding the type of technical assistance to be provided will be made by the Director of the Office of Workforce Development. These activities will be funded with Section 133(b)(2)(A), 133(b)(2)(B), and 128(b)(2) set asides.

2. The LWIA will develop and formally submit its corrective action plan to the State. This plan, which will reflect the input of both OWD and LWIA staff, should be designed to have a significant impact on the LWIA's performance during the final two quarters of the PY, i.e., to bring performance up to acceptable levels. OWD may accept or reject the LWIA's submitted corrective action plan.

The LWIA will monthly report to OWD on the progress achieved under the corrective action plan, beginning 45 days following the plan's implementation.

## **B. Second Year**

If the LWIA's failure to meet performance goals extends into a second year, the State shall either withhold up to five percent of the LWIA's Section 133(b)(2)(A) & (B) and Section 128(b)(2) allotment for the next PY, effectively reallocating these funds to the other LWIA's, or, at the discretion of the Governor, impose a LWIA reorganization plan. Should a LWIA reorganization plan be imposed, every effort will be made to observe the following sequence of events:

1. Initial meetings between State and Local Area staff will address the general scope and nature of the LWIA reorganization plan. Among the options considered at this meeting will be specific recommendations from the OWD Program Integrity Section. Such options may include:
  - a. Restructuring the LWIB or designating an entirely new LWIB;
  - b. Prohibiting the use of certain service providers;
  - c. Merging the Local Area with a contiguous Local Area;
  - d. Any other actions deemed necessary to improve Local Area performance.

2. The reorganization plan will be imposed within forty-five calendar days following the State/LWIA meeting. Prior to reorganization plan implementation, the LWIA will be afforded the opportunity to appeal its case before a hearing officer. If the LWIA is dissatisfied with the results of this hearing, it may appeal the reorganization plan directly to the Secretary, observing all relevant procedures governing such an appeal:
  - a. No later than two weeks after the meeting, the LWIA will be notified of the reorganization plan to be imposed. This notification will include information regarding any specific requirements connected with the reorganization plan;
  - b. LWIAs desiring a hearing must file a written request for such within ten days of notification of reorganization;
  - c. Any such hearing will be held within thirty days of receipt of such written request;
  - d. The hearing officer's decision will be transmitted to the State within two weeks following the hearing.
  - e. Within thirty days following the hearing, the State will notify the LWIA, via certified mail, of the results of the hearing and of the State's final determinations regarding LWIA reorganization.
  - f. Should the LWIA be dissatisfied with this decision, it may appeal directly to the Secretary, observing all relevant procedures governing such an appeal.
  - g. Should the Secretary respond favorably to the LWIA's appeal of the Governor's determinations regarding LWIA reorganization, the Governor will convene a hearing, attended by both OWD and LWIA staff, for the purpose of reconsidering the LWIA reorganization strategies.

The second year performance of any LWIA which has failed to meet performance goals for a program year, thus incurring first year sanctions, will be very carefully monitored by the OWD. If the first two quarters of this tracking suggests that the LWIA's second year performance may result in a second consecutive year of failed performance goals, the State should immediately begin discussions on what form any resulting sanctions would likely take. This careful second year performance monitoring will facilitate the identification and provision of any necessary additional technical assistance.

7. **What steps, if any, has the state taken to prepare for implementation of new reporting requirements against the common performance measures as described in Training and Employment Guidance Letter (TEGL) 15-03, December 10, 2003, Common Measures Policy. NOTE: ETA will issue additional guidance on reporting requirements for common measures.**

We have been preparing by discussing these issues among the partner agencies and their Information Technology professionals. Not knowing exactly what will be required restricts one's ability to discuss changes with IT professionals.

- 8. Include a proposed level for each performance measure for each of the two program years covered by the plan. While the plan is under review, the state will negotiate with the respective ETA Regional Administrator to set the appropriate levels for the next two years. At a minimum, states must identify the performance indicators required under section 136, and, for each indicator, the state must develop an objective and quantifiable performance goal for two program years. States are encouraged to address how the performance goals for local workforce investment areas and training providers will help them attain their statewide performance goals. (sections 112(b)(3) and 136)**

No performance levels for the new Common Measures, i.e., Entered Employment Rate (EER), Employment Retention Rate (ERR), and Earnings Change in six months will be negotiated for Wagner-Peyser for PY 2005. Performance data compiled on the Common Measures for PY 2005 will be utilized to establish base line performance for future negotiation of performance levels. During this period performance in these measures will be studied and compared to the state's previous outcomes, outcomes from other programs, and other states in order to modify strategies to achieve continuous improvement in performance and thus in the system.

Proposed performance goals are at Attachment 12.

## **E. Administrative Provisions**

- 1. Provide a description of the appeals process referred to in section 116(a)(5)(m).**

The appeals process described in 116(a)(5) covers appealing designation decision made by the State. The decision may be appealed to the State Workforce Investment Board. Within ten working days of receiving the adverse ruling, the applicant may notify the Workforce Development Division of its intention to file an appeal to the State Workforce Investment Board within twenty days after the notice of intent to file an appeal, the applicant must submit their rebuttal arguments. The goal, dependent on the meeting schedule of the State Workforce Investment Board, is to complete the process within 60 days of receipt of the appeal review.

Another adverse ruling may be appealed to the Secretary of Labor, who may require that the area be designated as a local area under the Workforce Investment Act.

**2. Describe the steps taken by the state to ensure compliance with the nondiscrimination requirements outlined in section 188.**

Within the Office of Workforce Development, both the Workforce Development Division (WDD), as the State WIA administrative entity, and the Department of Industrial Relations (DIR) as the State Wagner Peyser Act administrator, have developed equal opportunity (EO) methods of administration (MOA) to implement the provisions of section 188 and 29 CFR Part 37 (WIA nondiscrimination and equal opportunity regulations). The MOA establishes nondiscrimination policies and procedures that apply to the WDD, DIR, and recipients of WIA title I financial assistance in the State's WIA programs and activities. The policies and procedures are disseminated to State and local area staff, career center operators, career center partner agencies, training providers, and customers, as appropriate.

The policies and procedures include appointment of Equal Opportunity Officers in the WDD, DIR, and in each local workforce investment area (LWIA). The WDD and DIR EO Officers provide training and technical assistance to State staff, LWIAs and career center staff in implementing nondiscrimination policies and procedures. As applicable, recipients of WIA title I assistance are required to develop and/or comply with the policies and procedures governing WIA programs, services and activities in the following areas:

- Providing notice and communicating the policy of nondiscrimination in State and local career center system services and activities;
- Including nondiscrimination assurances in LWIA plans, contracts and other financial agreements;
- Ensuring universal access to core services;
- Providing equitable service and ensuring access to people with disabilities;
- Collecting EO-related data and maintaining confidentiality of records, as necessary; and
- To receive and/or refer complaints of discrimination to the WDD.

Currently two grant programs funded by the U. S. Department of Labor are directed toward assessing and improving services to people with disabilities, as well as ensuring continuous system-wide efforts in this regard. The ***Alabama Customized Employment (ACE) Grant Program*** is designed to provide demonstration programs and to incorporate customized employment options for people with disabilities into the array of services offered throughout the Alabama Career Center System. The ***Mapping Access to Program Services (MAPS)*** Project is designed to evaluate the status of programmatic and physical accessibility in the Alabama Career Center System, and to provide training regarding disability issues to career center staff.

The WDD, DIR, and LWIA EO Officers monitor recipients, including career centers and training providers, to determine compliance with nondiscrimination policies and procedures.

## **XI. Assurances**

### **ASSURANCES AND CERTIFICATIONS**

1. The State assures that it will establish, in accordance with section 184 of the Workforce Investment Act, fiscal control and fund accounting procedures that may be necessary to ensure the proper disbursement of, and accounting for, funds paid to the State through the allotments made under sections 127 and 132. (§112(b)(11).)
2. The State assures that it will comply with section 184(a)(6), which requires the Governor to, every two years, certify to the Secretary, that –
  - a. the State has implemented the uniform administrative requirements referred to in section 184(a)(3);
  - b. the State has annually monitored local areas to ensure compliance with the uniform administrative requirements as required under section 184(a)(4); and
  - c. the State has taken appropriate action to secure compliance with section 184(a)(3) pursuant to section 184(a)(5). (§184(a)(6).)
3. The State assures that the adult and youth funds received under the Workforce Investment Act will be distributed equitable throughout the State, and that no local areas will suffer significant Shifts in funding from year to year during the period covered by the Plan. (§112(b)(12)(B).)
4. The State assures that veterans will be afforded employment and training activities authorized in section 134 of the Workforce Investment Act, and the activities

authorized in chapters 41 and 42 of Title 38 US code. The State assures that it will comply with the veterans priority established in the Jobs for Veterans Act.

(38 USC 4215.)

5. The State assures that the Governor shall, once every two years, certify one local board for each local area in the State. (§117(c)(2).)
6. The State assures that it will comply with the confidentiality requirements of section 136(f)(3).
7. The State assures that no funds received under the Workforce Investment Act will be used to assist, promote, or deter union organizing. (§181(b)(7).)
8. The State assures that it will comply with the nondiscrimination provisions of section 188, including an assurance that a Methods of Administration has been developed and implemented (§188.)
9. The State assures that it will collect and maintain data necessary to show compliance with the nondiscrimination provisions of section 188. (§185.).
10. The State assures that it will comply with the grant procedures prescribed by the Secretary (pursuant to the authority at section 189© of the Act) which are necessary to enter into grant agreements for the allocation and payment of funds under the Act. The procedures and agreements will be provided to the State by the ETA Office of Grants and Contract Management and will specify the required terms and conditions and assurances and certifications, including, but not limited to, the following:

- General Administrative Requirements:

-29 CFR part 97 --Uniform Administrative Requirements for State and Local Governments (as amended by the Act)

-29 CFR part 96 (as amended by OMB Circular A-133) --Single Audit Act

-OMB Circular A-87 --Cost Principles (as amended by the Act)

- Assurances and Certifications:

-SF 424 B --Assurances for Non-construction Programs

-29 CFR part 37 --Nondiscrimination and Equal Opportunity Assurance (and regulation) 29 CFR § 37.20

-CFR part 93 --Certification Regarding Lobbying (and regulation)

-29 CFT part 98 --Drug Free Workplace and Debarment and Suspension  
Certifications (and regulation)

- Special Clauses/Provisions:

Other special assurances or provisions as may be required under Federal law or policy, including specific appropriations legislation, the Workforce Investment Act, or subsequent Executive of Congressional mandates.

11. The State certifies that the Wagner-Peyser Act Plan, which is part of this document, has been certified by the State Employment Security Administrator.
12. The State certifies that veterans' services provided with Wagner-Peyser Act funds will be in compliance with 38 U.S.C. Chapter 41 and 20 CFR part 1001.
13. The State certifies that Wagner-Peyser Act-funded labor exchange activities will be provided by merit-based public employees in accordance with DOL regulations.
14. The State assures that it will comply with the MSFW significant office requirements in accordance with 20 CFR part 653.



15. The State certifies it has developed this Plan in consultation with local elected officials, local workforce boards, the business community, labor organizations and other partners.
16. As a condition to the award of financial assistance from the Department of Labor under Title I of WIA, the grant applicant assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws: -- Section 188 of the Workforce Investment Act of 1998 (WIA), which prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and against beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in any WIA Title I—financially assisted program or activity; -- Title VI of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the bases of race, color and national origin; -- Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against qualified individuals with disabilities; -- The Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age; and -- Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs. The grant applicant also assures that it will comply with 29 CFR part 37 and all other regulations implementing the laws listed above. This assurance applies to the grant applicant's operation of the WIA Title I-financially assisted program or activity, and to all agreements the grant applicant makes to carry out the WIA Title I-financially assisted program or activity. The grant

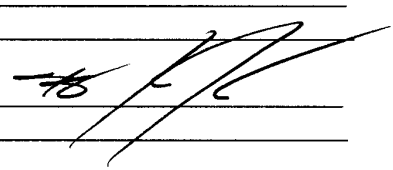
applicant understands that the United States has the right to seek judicial enforcement of this assurance.

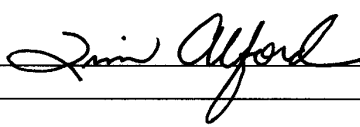
17. The State assures that funds will be spent in accordance with the Workforce Investment Act and the Wagner-Peyser Act and their regulations, written Department of Labor Guidance implementing these laws, and all other applicable Federal and State laws and regulations.

**PROGRAM ADMINISTRATION DESIGNEES AND PLAN SIGNATURES**

**Name of WIA Title I Grant Recipient Agency:** Alabama Department of Economic and Community Affairs  
**Address:** P O Box 5690  
Montgomery, AL 36103-5690  
**Telephone Number:** (334) 242-5300  
**Facsimile Number:** (334) 242-5855  
**E-mail Address:** swalkley@adeca.state.al.us

**Name of State WIA Title I Administrative Agency (if different from the Grant Recipient):**  
Alabama Office of Workforce Development  
**Address:** P. O. Box 5690  
Montgomery, AL 36103-5690  
**Telephone Number:** (334) 242-5300  
**Facsimile Number:** (334) 242-5855  
**E-mail Address:** swalkley@adeca.state.al.us

**Name of WIA Title I Signatory Official:** Bill Johnson   
**Address:** P. O. Box 5690  
Montgomery, AL 36103-5690  
**Telephone Number:** (334) 353-1490  
**Facsimile Number:** \_\_\_\_\_  
**E-mail Address:** bjohnson@adeca.state.al.us

**Name of WIA Title I Liaison:** Dr. Tim Alford   
**Address:** P. O. Box 5690  
Montgomery, AL 36103-5690  
**Telephone Number:** (334) 353-1490  
**Facsimile Number:** \_\_\_\_\_  
**E-mail Address:** tim.alford@adeca.state.al.us

**Name of Wagner-Peyser Act Grant Recipient/State Employment Security Agency:**  
Alabama Department of Industrial Relations  
**Address:** 649 Monroe Street  
Montgomery, Alabama 36131  
**Telephone Number:** (334) 242-8990  
**Facsimile Number:** (334) 242-3960  
**E-mail Address:** Director@dir.state.al.us

**Name and title of State Employment Security Administrator (Signatory Official):**

Phyllis Kennedy  
Address: 649 Monroe Street  
Montgomery, Alabama 36131  
Telephone Number: (334) 242-8990  
Facsimile Number: (334) 242-3960  
E-mail Address: Director@dir.state.al.us

As the Governor, I certify that for the State of Alabama, the Agencies and officials designated above have been duly designated to represent the State/Commonwealth in the capacities indicated for the Workforce Investment Act, Title I, and Wagner-Peyser Act grant programs. Subsequent changes in the designation of officials will be provided to the U.S. Department of Labor as such changes occur.

I further certify that we will operate our Workforce Investment Act and Wagner-Peyser Act programs in accordance with this Plan and the assurances herein.

Typed Name of Governor Bob Riley

Signature of Governor/Date

[Signature] 5/25/05

Attachments:

1. Executive Order 17
2. Organization Chart
3. State Workforce Investment Board Members
4. Workforce Development Strategic Plan
5. Roles and Responsibilities
6. Regional Advisory Councils – Map
7. Career Centers – Map
8. Waiver Summary
9. Career Center Operations Template
10. Grievance Procedures (WIA)
11. Full Collaboration Model
12. Proposed Performance Goals